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ABSTRACT

The seven objectives of the conference were to investigate the feasibility of interstate, interlibrary cooperation; study needs of the region; identify and examine trends in local, state, regional and national planning; review cooperative library activities; formulate an organizational service working across state lines, identify specific interstate library cooperative projects to be undertaken and to recommend initiation of at least one such project. The four working papers of the conference entitled "Library Planning: Fundamentals Pertinent to the Conference on Interstate, Interlibrary Cooperation;" "Interstate Library Operations in the United States: A Critical Review;" "The Need and Potential in the Southwest for Interstate Interlibrary Cooperation;" and "Legal, Organizational and Financial Aspects of Interstate Interlibrary Cooperation in the Southwest" are included in the Proceedings. Library needs in the region as identified by the Conference groups and full assembly are included. (AB)

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Selected Proceedings of

THE SOUTHWESTERN LIBRARY ASSOCIATION CONFERENCE ON THE SOUTHWESTERN LIBRARY INTERSTATE COOPERATIVE ENDEAVOR (SLICE)

September 16-18, 1970

LI 002284

Southwestern Library Association
Interstate Library Cooperation Committee
and the
State Library Agencies in the Association

ED045165

Selected Proceedings of

THE SOUTHWESTERN LIBRARY ASSOCIATION CONFERENCE ON THE SOUTHWESTERN LIBRARY INTERSTATE COOPERATIVE ENDEAVOR (SLICE)

Inn of the Six Flags
Arlington, Texas
September 16-18, 1970

Sponsored by the Southwestern Library Association, Interstate Library Cooperation Committee:

Ralph Funk, Oklahoma Department of Libraries, Chairman
Maryann Duggan, Regional Medical Library Program, University of Texas Southwestern Medical School, Co-Chairman
Marguerite Cooley, State Department of Libraries and Archives, Arizona
Frances Neal, Arkansas Library Commission
Sallie Farrell, Louisiana State Library
Brooke E. Sheldon, New Mexico State Library
Lee B. Brawner, Texas State Library

with assistance of state library agencies in the Southwestern Library Association.

The Selected Proceedings Include:

Conference Goals — 1 page
Conference Background and Summary — 1 page
Four Working Papers:

LIBRARY PLANNING; FUNDAMENTALS PERTINENT TO THE CONFERENCE ON INTERSTATE, INTERLIBRARY COOPERATION — 20 pages
S. Janice Kee, Library Services Program Officer, HEW Region VI, Dallas.

INTERSTATE LIBRARY OPERATIONS IN THE UNITED STATES; A CRITICAL REVIEW — 26 pages
Genevieve M. Casey, Associate Professor, Library Science, Wayne State University.

THE NEED AND POTENTIAL IN THE SOUTHWEST FOR INTERSTATE INTERLIBRARY COOPERATION — 21 pages
Dr. Edward G. Holley, Director of Libraries, University of Houston.

LEGAL, ORGANIZATIONAL AND FINANCIAL ASPECTS OF INTERSTATE INTERLIBRARY COOPERATION IN THE SOUTHWEST — 76 pages
Katherine McMurrey, Legislative Reference Librarian, Texas Legislative Reference Service and Ralph H. Funk, Director, Oklahoma Department of Libraries.

CONFERENCE GOALS

This conference is an outgrowth of recent statewide cooperative activities in the Southwest, an institute on library cooperation in Dallas in October 1969, and the work of the SWLA Interstate Library Cooperation Committee. This Committee was established to consider ways and means of expediting interstate interlibrary cooperation in the six states of the Southwestern Library Association. The Committee has held several working sessions and has proposed to the SWLA Executive Board that a demonstration project be undertaken to determine the feasibility of a collaborative program for the development of interstate library service. The SWLA Executive Board has approved the work of the Committee and the purpose of this conference. The conference objectives have received favorable attention from, not only the SWLA Board, but also the US Office of Education, and many library leaders and organizations across the country.

The conference objectives are as follows:

(1) To explore further the feasibility of the Committee's proposal for interstate, interlibrary cooperation, which has been approved in principle by the Executive Board, Southwestern Library Association.

(2) To identify and examine trends in local, state, regional and national planning, including funding patterns, which would be applicable to interstate, interlibrary cooperation in the Southwest.

(3) To study the social, legal and organizational aspects of interstate, interlibrary cooperation.

(4) To review cooperative library activities and to examine library needs in the Southwest which might be met through interstate, interlibrary cooperation.

(5) To formulate an organizational service, and financial patterns for working together across state lines.

(6) To identify one or more specific interstate library cooperative projects to be undertaken within the Southwest and to formulate objectives and a plan of action for these projects.

(7) To recommend initiation of at least one cooperative project to begin within the present fiscal year.

CONFERENCE BACKGROUND AND SUMMARY

As a result of considerations of the SWLA Interstate Library Cooperation Committee concerning establishment of interstate library programs in the SWLA region which have been approved by the Executive Board in principle, this conference was held in Arlington, Texas, September 16 through 18, 1970. The conference was funded by the state library agencies of Arizona, Arkansas, Louisiana, New Mexico, Oklahoma and Texas. Four working papers were presented to the sixty-two registrants consisting of state library association presidents, state library agency personnel, library educators, representatives of the state planning offices, directors of major libraries in the region, the USOE Region VI library program officer and a number of invited guests from outside the region.

Invited guests included Burton Lamkin, head of the Bureau of Library and Educational Technology of the U. S. Office of Education, Dorothy Kittle, Title III advisor for the Bureau, Shirley Brother of the Southeastern USOE Region, representatives of the two regional interstate higher education agencies (SREB and WICHE), and a number of other persons interested in and knowledgeable in this field of interest.

There were seven conference objectives which in summary were to investigate the feasiblity of the concept, study needs of the region, consider organizational structure possibilities, and identify and recommend at least one cooperative project to initiate this fiscal year.

Papers were presented which had a bearing on the objectives following which the state planning officers were asked to address themselves--which they did in favorable terms.

Following this groundwork, the participants were divided into five groups of ten to twelve members each. These groups each reflected different types of libraries, persons from the various states, and at least one planner from each state. These groups met in two sessions, each lasting two and one-half hours. After the first group sessions, reports from each were presented to the full assembly; following this was the second group session which afforded an opportunity to consider the ideas and recommendations of the other groups.

Library needs in the region as identified by the groups and the full assembly included:

- Education of library personnel, including continuing education
- Improved access to resources
- Bibliographic control (particularly of state and municipal documents)
- Reaching non-users, including the urban and rural disadvantaged and those in sparcely settled though large geographical areas
- Shared data processing expertise and products
- Development of a library research center to provide information for better planning
- Resources directory of strengths in the region
- Shared personnel and expertise in program development and implementation
- Project coordination for the region
- Establishment of some sort of "clearinghouse" to provide communication and information on projects being planned or undertaken in the region
- Exchange of library science students.

During the final session, the assembly stated strongly to the SWLA Interstate Library Cooperation Committee that it should inform the SWLA Executive Board of the assembly's committment to regional library development. It recommended that a coordinating office be established and that perhaps a task force be established to identify needs and projects. State library agency representatives were polled, and they agreed there should be no objection to some funding of mutually beneficial library programs in the region.

Library Planning; Fundamentals Pertinent
to the
Conference on Interstate, Interlibrary Cooperation
September 16-18, 1970

--S. Janice Kee

The regional approach in library development is not new in the United States. It was first necessary to recognize the interdependence of city and county, so the county library movement began something like fifty years ago. The problems of crossing jurisdictional lines to establish multi-county (or regional) libraries have been faced in many states by library organizers and administrators for at least forty years.

Public library systems were prescribed in professional national standards for public library services in 1956, and the idea of interlibrary cooperation in which school, academic, special and public libraries are involved, was greatly encouraged by Federal legislation in 1965. In the history of library regionalism and interlibrary cooperation, the rationale has not changed; that is, resources may be shared to the advantage of the library user.

I venture to say that those of us who have been actively engaged in promoting "larger units" of library service over a period of years have encountered the full range of problems inherent in intergovernmental relations. However, I believe, as a group of professionals who are highly service-oriented, we are prepared to support the concept of regionalism, even on an interstate scale, if it proposes to bring better service to our public.

This conference is concerned with regionalism on not only an interstate but also on an interlibrary basis. Both concepts are relatively new in library development. We recognize that to perform a public service which requires crossing state lines, and institutional lines as well, we must be committed to the proposition that the desired service is in the public interest. We must be able to read the social, economic and political indicators, and to work with them and the psychological barriers to social change that are common to professionals in institutions. Admittedly, this is a big order.

It is indicated that

--We need agreement that the status quo--or business as usual--does not meet today's library needs.

--We can no longer afford to ignore the possibility that a better way to serve our library public might be found if we take the trouble to examine the alternatives.

--Libraries, of all types, are involved in the whole business of social change and economic issues. Neither are they exempt from the political process.

--There are barriers to social change, and perhaps the most hazardous of these (in relation to our conference objectives) are those of a psychological nature common to librarians and educators.

This conference will tackle these and other considerations in exploring the feasibility of initiating cooperative library projects

in the southwestern region. It is suggested that it do so in the spirit and framework of planning for change. In brief, this means planning to meet today's needs with consideration of the future.

Planning as a management function has long been recognized as desirable, and in more recent years it has been legislatively mandated at both the federal and state levels. The public pressure to improve the quality of government and to take full advantage of resources has resulted in many Federal laws which require State Plans and other Federal and state laws which make grants available for planning purposes.

In the language of Federal laws, planning is generally coupled with development and metropolitan, community, areawide and comprehensive are descriptive modifiers of planning. We hear, also, about economic, social, physical, functional, management and operational planning. It is not my purpose to elaborate on this morass of terminology. I ask you, however, to examine the summary sheets on several Federal laws related to planning which are attached to this paper and note particularly the objectives of the programs.* From these few exhibits I believe we can safely make the deduction that the Congress of the United States has expressed forcefully its concern for effective public management, for joint program sponsorship (interagency and intergovernmental involvement) for areawide and, even for interstate planning and programming. There is a national trend of acceptance of

*Excerpts from The Catalog of Federal Domestic Assistance, April, 1970, a publication of the Office of Economic Opportunity.

the planning process as an orderly device for attacking social problems.

This is a working conference, and I am suggesting that our task is to develop at least the bone structure of a plan, an operational plan (I think), which

--Is based on a set of philosophic assumptions, broadly stated goals, and specific objectives.

--Shows evidence of an assessment of needs and identification of problems and established priorities.

--Considers alternatives and approaches to the solution of the problem (or to meet the need)

--Has an administratively feasible action program.

--Provides for reporting and evaluation.

Assumptions, Goals and Objectives:

As a solid base for the planning process, fundamental assumptions (in our case, about library service) should be made and goals should be articulated. Assumptions are always subject to disagreement and goals can be so broadly stated that they give little direction to planners. Nevertheless, an important part of one's background for planning is a foundation of philosophic beliefs and idealism. There is ample evidence that the individual southwestern states are not without such a foundation. Considerable progress has been made in the last two decades in developing library goals and standards by State Libraries,

Boards of Education, State Library Associations, particularly committees on library development and legislation. However, there will be need to extend and expand the base. This is to say we will need "to regionalize" our assumptions and goals. In other words, a southwestern regional plan is more than the sum of its State Plan parts.

To qualify for funds under the Library Services and Construction Act, each State Library Extension Agency has been required, since 1956, to submit a State Plan to the U. S. Commissioner of Education. This Plan, with all of its limitations, serves as a basis of understanding among local, state and Federal administrative agencies, and it sets forth goals, objectives and methods under which Federally supported programs will be administered. In a review of Sections 2.1 and 2.2 of the State Plans for improving and extending public library services in all of the six states of the southwest, I found the same broadly stated goal, expressed in various ways, and the same implied assumption:

Goal: To improve the quality and extent of library service to all the people of the state.

Assumption: Public library service is good for everybody.

The "coverage" goal has been more specifically stated and pursued in Louisiana over a period of many years. The State Plan reads: ". . . continue its demonstration . . . ." This more specific goal is desirable and helpful in designing the means for achievement, and is

also directly related to the assumption that all should have public library service.

The library demonstration might be considered a method of achieving universal library service--but hardly so in Louisiana, where demonstrations first became an annual state-supported activity in the 1920's and had widespread local acceptance over a period of 40 years.

The public library programs of all the states include various methods of improving service through enlarging library operating units--i.e., multi-county, locally tax-supported libraries in Arkansas and Oklahoma and federated systems of library services in Arizona, New Mexico and Texas.

Louisiana, in 1970, initiated a multi-parish, multi-institutional institutional pilot library system in the area around Monroe, and this development will receive national recognition as an effort to test the feasibility of interlibrary cooperation.

In my review of sections 4.1 and 4.2 of the State Plans related to Interlibrary cooperation (LSCA, Title III), it was interesting to note that all of the six southwestern states expressed a goal of access for all through institutional coordinated effort. Access goals differ slightly from the coverage goals in method only--not in philosophy. The common aim is to serve all the residents of the state but it is assumed that access to library service may be achieved without a library facility in every community and perhaps without a local library tax.

Goal: To provide the residents of the state, whoever or wherever they may be, easy and rapid access to a full range of library resources wanted and needed.

Assumption: It is in the public interest to make the benefits of library resources, wherever they are held, accessible to all.

The Federal Regulations for LSCA, Title III, Interstate Library Cooperation, provides for interstate activities "for improved services of a supplementary nature" to the clientele of the several types of libraries and for "cooperative systems or networks of libraries." The text of the law reflects national policies in such terms as "systematic and effective coordination of the resources of school, public, academic libraries and special information centers for improved service . . . .", "assurance" that local agencies may participate and a system of allocation of costs by participants. The key concepts here are improved library service, coordinated effort, access to all, and cost sharing--concepts to be kept in mind in planning interstate, interlibrary cooperative projects.

In the Sections 4.2 of the six State Plans reviewed, I found several references to the possibility of crossing state lines with Title III programs--i.e., Louisiana, "if feasible, with adjacent states"; New Mexico, "outside the state"; and Oklahoma, "across state lines where possible and desirable."

Needs, Alternative Approaches and Priorities

In the southwest, the library needs and problems have been identified in the last decade in numerous field studies, surveys and research projects. They have been discussed in conferences and published in periodicals. One of the working papers for this conference will highlight needs and problems.

For many obvious reasons, there is no possibility that all our problems can be solved, but none should be ignored and all should be considered in terms of the conference objectives.

A large task for the conferees is:

--To select the needs that may best be met in whole or in part through interstate, interlibrary cooperation.

--To establish a priority order of these needs.

--To determine methods of meeting the need in terms of programs.

--To identify the problems to be overcome if the needs are met through interstate, interlibrary cooperative programs.

In setting priorities, planners should consider whether the priorities are:

--of a short or long term nature,

--purely applicable to the universe of interstate, interlibrary cooperation

--feasible to the extent they have a reasonable chance of success

--of the sort that will provide visibility and gain acceptance, in order to justify further activities leading to goal achievement.

After the priority questions have been explored and a priority order of possible programs has been established, specific objectives should be written for each program, followed by a statement of justification. The exercise of stating the objectives and justifying the need for programs may serve to change the priority order--and may suggest alternative approaches to meeting the objectives. For example, it might be decided that a program that appeared feasible for the region as a whole might better be pre-tested by one of the states--or tried by two states, etc.

Plan of Action

Once the selected programs are in priority order, packaged in objectives and justification, hard decisions must be made on the operational structure for carrying out the program--that is, the organizational framework, participating agencies, governing authorities, funding, including a budget, manpower, service patterns and timetable. Any interstate regional program carries with it potential effects on state plans and programs. Since chief executives have the key role in initiating planning and policy, they should be actively involved in these decisions.

The region must agree upon a structure with an identifiable agency (with a small "a"), financed and staffed, one which will maintain proper liaison with all participants in the cooperative programs. Some of the essential questions to be answered are:

--Which Agencies will be involved--State Libraries? State Departments of Education? State Planning? Boards of Higher Education? Local Boards of Trustees? Library Development Committees and/or other units of state library associations? Southwestern Library Association, committees and/or Board? A special organized group of representatives of SWLA? The USOE Regional Office? Other?

--Who governs the operation?

--What are the legal implications? What changes will be necessary in State laws and State Plans? What changes in Library Association structure?

--Where is the money coming from? How much is needed, and what procedure is possible for joint financing? Who will pay? On what basis and by what method?

--What are the staff requirements? Who will give how much budgeted (and non-budgeted) time to the programs? What other cost elements should be considered and budgeted?

--Since the ultimate goal of any library program is to deliver a service to the people, the plan should show

how this is to be done.

--What is the nature of the service? What is the pattern for delivering the service?

Decisions---> Plans --> Programs --> Action

Decisions must be linked with action to get the job done. The action program should be guided by a listing of specific activities, naming the responsible persons or agencies to be involved and a time schedule.

It should be remembered that planning for change will more than likely require adjustments in traditional practices, revisions of rules, regulations, plans, etc. If I knew more about it, I would discuss the subject of the strategies involved in planning for change. The questions of the involvement of people in decision making who are to be affected and their readiness to make changes must be faced. In implementing new ideas, the need for a built-in educational program and the dissemination of information to the public must be considered. An analysis of the problem (or need) may reveal causes that require special strategy in effecting change. We will rely upon the State Planners among the conferees to assist us on the tedious question of strategy.

Reporting and Evaluation

Finally, the regional program plans should provide for a simple reporting system and a review and evaluation system.

Planners should continuously observe and make a record of how well the program objectives are being met and to what extent the program is contributing to long-range goals.

The set of objectives for any program should include some which are measurable. We all know objective evidence of success is hard to come by in library programs, but the results of expenditures of public funds will finally be judged by our public. The consumer of services ultimately evaluates and decides, through the political process, whether a program is funded or not. To assist the public in this decision, administrator-planners should have built-in criteria for determining the usefulness of a program, and should interpret their findings with the least possible value judgments.

Summary

This is a conference to work on library plans. Planning library programs is not new to librarians. It is not only a sensible, practical and desirable approach to meeting library needs, it is generally required where Federal funds are used. There appears to be no insurmountable reasons why the librarians of the southwest should not proceed to work toward interstate, interlibrary cooperative programs.

Planning is a management function. It includes an examination of philosophic assumptions on which goals are set. It involves fact gathering, assessing needs, identifying special problems, establishing priorities of programs, selecting approaches, articulating objectives (some of which are measurable) and formulating an action program. Finally, all programs should be reported and evaluated.

14.203

Exhibit 1

PROGRAM TITLE

COMPREHENSIVE PLANNING ASSISTANCE

POPULAR NAME

"701"

ADMINISTERING AGENCY

METROPOLITAN PLANNING AND DEVELOPMENT, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

AUTHORIZATION

Housing Act of 1954, section 701, as amended, Public Law 83-560, 68 Stat. 590, 640; 40 U.S.C. 461.

OBJECTIVES

To establish the comprehensive planning process as a continuing function of Government, to guide the allocation of scarce public and private resources, to address critical social concerns, to improve the quality and efficiency of land development, and to secure the participation of business firms and voluntary groups in the planning and development process.

TYPES OF ASSISTANCE

Project grants.

USES AND USE RESTRICTIONS

A broad range of subjects may be addressed in the course of the comprehensive planning process. They include land development patterns, physical facility needs such as housing, transportation planning, recreation, and community facilities, the development of human resources, and the development and protection of natural resources.

Types of activities which may be undertaken include preparing development plans, policies, and strategies, programing capital investments, governmental services, and implementation measures, and coordinating related plans and activities carried on by other levels of government.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: Eligible applicants include: State agencies designated by the Governor; metropolitan, nonmetropolitan, and regional planning agencies, including councils of Governments; counties; cities; local development districts; economic development districts; Indian reservations; interstate regional commissions; localities which have suffered a major disaster and official government planning agencies for areas where a substantial reduction in employment has occurred as a result of a decline in Federal purchase or closing of a Federal installation.
2. BENEFICIARY ELIGIBILITY: Same as applicant eligibility.
3. CREDENTIALS/DOCUMENTATION: Statements and legal citations indicating authority of applicant to undertake planning activities, accept and disburse Federal funds, and opinion of counsel that applicant is legal entity possessing powers above.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: Certain comprehensive planning components must be reviewed by other agencies conducting functional planning activities. All applications must be reviewed for comment by the Governor or his designee.
2. METHOD OF APPLICATION: Cities and other municipalities with less than 50,000 population, counties, nonmetropolitan districts, and Indian reservations generally apply through their State planning agencies. Other applicants apply directly to the appropriate HUD regional office.
3. DEADLINES: Application deadlines are individually set by regional offices, but are generally at the end of March each year.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: Time between application and approval or disapproval; 2 months.
5. APPEALS: Rework time normally included within the 2-month period.
6. RENEWALS: Extensions available upon written request. No renewals.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Project.
2. MATCHING REQUIREMENTS: Grants are available, normally for two thirds of the cost of the planning project. Grants for three-fourths of project cost may be given in cases involving redevelopment areas, economic development districts, or Appalachian local development districts. Federal installation substantially reduces employment, Appalachian Regional Commission, and to the other regional commissions.
3. LENGTH OF ASSISTANCE PERIOD: One year.
4. TIME PHASING OF ASSISTANCE: 1 year from time of approval.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: Grant recipients must submit a quarterly cost control, cash position, and accountability statement, a semiannual progress report, and an annual program completion report accompanied by copies of any project reports, plans, maps, or other documents.
2. AUDITS: Regular HUD audit procedure.
3. RECORDS: All records applicable to project grant must be kept for 3 years following completition of contract or receipt of final payment, whichever is later.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 25-12-0122-0-1-553.
2. COMMITMENTS: Fiscal year 1970, $48,605,000 estimate; fiscal year 1969, $42,991,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: None in law, varies by project.
5. OUTPUT MEASURE: Fiscal year 1969, 1,200 States, metropolitan regions, districts, counties, municipalities, Indian reservations, or regional commissions received planning grants.

PROGRAM LITERATURE

"Comprehensive Planning Assistance: Guidelines Leading to a Grant: HUD Handbook MD 6041.1. Comprehensive Planning Assistance: Managing a Grant: HUD Handbook MD 6041.2." See also, programs of interest to planners pamphlet.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: Contact the appropriate HUD regional office, listed in the appendix.
2. HEADQUARTERS OFFICE: Donald Preist, Comprehensive Planning Assistance Division, Office of Planning Assistance and Standards, Metropolitan Planning and Development, Department of Housing and Urban Development, Washington, D.C. 20410, Telephone: (202) 755-4000.

14.504

PROGRAM TITLE — URBAN PLANNING RESEARCH AND DEMONSTRATION

POPULAR NAME — "701(B)" PROGRAM

ADMINISTERING AGENCY — OFFICE OF RESEARCH AND TECHNOLOGY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

AUTHORIZATION

701(b) of Housing Act of 1954, as amended, 40 U.S.C. 461.

OBJECTIVES

To develop and improve methods and techniques for comprehensive planning, to advance the purpose of the comprehensive planning assistance program, and to assist in the conduct of research related to needed revisions of State statutes which create, govern, or control local governments or local government operations.

TYPES OF ASSISTANCE

Project grants.

USES AND USE RESTRICTIONS

Funds are used for studies, research, and demonstration activities that meet research needs determined by the Department of Housing and Urban Development.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: Public agencies, public and private universities, profit-making and not-for-profit organizations.
2. BENEFICIARY ELIGIBILITY: Not applicable.
3. CREDENTIALS/DOCUMENTATION: Not applicable.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: None.
2. METHOD OF APPLICATION: Response to HUD request for proposal issued by Division of Contracts and Agreements is the usual method. Unsolicited proposals are also considered.
3. DEADLINES: Not applicable.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: Not applicable.
5. APPEALS: Not applicable.
6. RENEWALS: As provided in contractual arrangement.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Project.
2. MATCHING REQUIREMENTS: None.
3. LENGTH OF ASSISTANCE PERIOD: Not applicable.
4. TIME PHASING OF ASSISTANCE: Not applicable.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: Progress reporting may be required. Final reports required.
2. AUDITS: As specified in the contractual arrangement.
3. RECORDS: Records maintained until closeout of project.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 25-12-0104-0-1-554.
2. OBLIGATIONS: Fiscal year 1970, $2 million, estimate; fiscal year 1969, $1,788,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: Varies greatly.
5. OUTPUT MEASURE: Not available.

PROGRAM LITERATURE

Fact sheet: "Urban Planning Research and Demonstration." "Programs Related to Technology and Research."

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: Inquiries should be directed to the headquarters office.
2. HEADQUARTERS OFFICE: Mr. Milton Edelin, Program Officer, Urban Planning Research and Demonstration Program, Office of Assistant Secretary for Research and Technology, Department of Housing and Urban Development, 451 7th Street SW., Washington, D.C. 20410, Telephone: (202) 755-5637.

Exhibit 3

Re: Model Cities

13.604

PROGRAM TITLE — **PLANNING FOR HUMAN RESOURCES DEVELOPMENT**

POPULAR NAME — CENTER FOR COMMUNITY PLANNING

ADMINISTERING AGENCY — OFFICE OF THE SECRETARY, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

AUTHORIZATION

Established by order of the Secretary of Department of Health, Education, and Welfare on January 9, 1967.

OBJECTIVES

To make available to clients of the Department a single focus where they may receive information and technical assistance in the areas of program coordination, joint program sponsorship, intergovernmental program such as Model Cities, and other activities not covered by individual agencies of the Department.

TYPES OF ASSISTANCE

Advisory services and counseling.

USES AND USE RESTRICTIONS

Information and assistance activities are generally restricted to those areas not covered by specialized expertise elsewhere in the Department.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: States, cities, counties, rural organizations, regional councils, public interests groups, private organizations, and individuals requiring assistance in an area covered by the operations of the Center for Community Planning may apply for assistance through the HEW regional directors or directly to the Center for Community Planning.
2. BENEFICIARY ELIGIBILITY: Same as applicant eligibility.
3. CREDENTIALS/DOCUMENTATION: None.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: None.
2. METHOD OF APPLICATION: By contacting the Center for Community Planning, Department of Health, Education, and Welfare.
3. DEADLINES: None.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: Not applicable.
5. APPEALS: Not applicable.
6. RENEWALS: Not applicable.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Not applicable.
2. MATCHING REQUIREMENTS: Not applicable.
3. LENGTH OF ASSISTANCE PERIOD: Not applicable.
4. TIME PHASING OF ASSISTANCE: Not applicable.

POST ASSISTANCE REQUIREMENTS

1. REPORTS Not applicable.
2. AUDITS: Not applicable.
3. RECORDS: Not applicable.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 09-80-0120-0-1-703.
2. OBLIGATIONS: Fiscal year 1970: $694,000 estimate (salaries and expenses); fiscal year 1969: $564,000 (salaries and expenses).
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: Not applicable.
5. OUTPUT MEASURE: Fiscal year 1969: 50 model cities plans reviewed of which 35 were approved; 110 cities provided technical assistance.

PROGRAM LITERATURE

"A City for Man," a digest of ideas for Model Cities Planners; no charge. "HEW Cities Handbook," a pocket-sized inventory of grant programs of special relevance to urban problems; no charge. "Q&A Series," HEW and the Model Cities, Neighborhood Service Program, Parent and Child Centers; no charge. "New Careers," a paper explaining the New Careers concept and discussing current approaches and future possibilities; no charge. "A Roster of HEW personnel involved in the Model Cities Program", no charge.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: HEW Regional Offices (see appendix for listing).
2. HEADQUARTERS OFFICE: Mr. Sidney L. Gardner, Director, Center for Community Planning, Office of the Secretary, Department of Health, Education, and Welfare, Washington, D.C. 20201, Telephone: (202) 962-8975.

13.207

PROGRAM TITLE

COMPREHENSIVE HEALTH PLANNING—GRANTS TO STATES

POPULAR NAME

314(a), PARTNERSHIP FOR HEALTH

ADMINISTERING AGENCY

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

AUTHORIZATION

Public Health Service Act, section 314(a), as amended by section 3 of the Comprehensive Health Planning and Public Health Services Amendments of 1966, Public Law 89-749, and section 2 of the Partnership for Health Amendments of 1967, Public Law 90-174; 42 U.S.C. 246.

OBJECTIVES

Provide financial support for State programs in comprehensive health planning, concerned with services, manpower, and facilities to meet the physical, mental, and environmental needs of all people of the State.

TYPES OF ASSISTANCE

Formula grants.

USES AND USE RESTRICTIONS

The State formula grant funds must be used to administer or supervise the administration of the State's comprehensive health planning functions. No more than 50 percent of the grant funds for any State may be expended for contract services.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: A single agency in each State designated by the Governor to administer or supervise the administration of the State's health planning functions is eligible to apply.
2. BENEFICIARY ELIGIBILITY: Not applicable.
3. CREDENTIALS/DOCUMENTATION: Civil Rights certification.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: Each State comprehensive health planning agency must establish an advisory council, the majority of whose members must represent consumers of health services.
2. METHOD OF APPLICATION: Designated State agencies must submit a State program and budget for comprehensive health planning for their use for approval by the regional health director.
3. DEADLINES: May 1 and June 1.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: From 1 to 2 months.
5. APPEALS: None.
6. RENEWALS: Not applicable.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Formula. On the basis of the population and the per capita income of the State, except that no State receives less than 1 percent of the total appropriated.
2. MATCHING REQUIREMENTS: The Federal share is limited to 75 percent of the cost of planning.
3. LENGTH OF ASSISTANCE PERIOD: Annual fiscal year basis.
4. TIME PHASING OF ASSISTANCE: None.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: Each State must submit annual progress reports, semiannual expenditure reports, and an annual work program as well as copies of any plans, studies, or recommendations.
2. AUDITS: See below.
3. RECORDS: The designated State agency shall maintain adequate records to show the disposition of all funds expended for activities under the approved State program. All records shall be maintained for a period of 5 years, or until audits by representatives of HEW have been completed and any questions arising from the audits have been resolved.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 09-20-0818-0-1-550.
2. OBLIGATIONS: Fiscal year 1970, $10,371,000 estimate; fiscal year 1969, $7,356,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: From $81,000 to $537,500.
5. OUTPUT MEASURE: Fiscal year 1969, by the end of the year all 56 eligible States and territories had submitted applications and received initial approval and funding.

PROGRAM LITERATURE

A directory of State and areawide comprehensive health planning agencies supported under section 314, Public Health Service Act of October 1, 1969 (supplement, January 4, 1970), no charge. Factsheet on "Comprehensive Health Planning—Comprehensive Health Services", no charge. "Information and Policies on Grants to States for Comprehensive Health Planning" (limited supply under revision), no charge. "Regulations Governing Grants to States for Comprehensive Health Planning" (limited supply under revision), no charge.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: Each HEW regional office has a staff responsible for the administration of this program. (See appendix for a list of regional offices.)
2. HEADQUARTERS OFFICE: Dr. Harold Hermann, Director, Division of Comprehensive Health Planning, Room 7A49, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20852, Telephone: (301) 443-1060.

13.206

Exhibit 5

PROGRAM TITLE — COMPREHENSIVE HEALTH PLANNING—AREAWIDE GRANTS

POPULAR NAME — 314(b), PARTNERSHIP FOR HEALTH

ADMINISTERING AGENCY — HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

AUTHORIZATION

Public Health Service Act, Section 314(b), as amended by Section 3 of the Comprehensive Health Planning and Public Health Services Amendments of 1966, Public Law 89-749, and Section 2 of the Partnership for Health Amendments of 1967, Public Law 90-174; 42 U.S.C. 246.

OBJECTIVES

To provide financial support for areawide comprehensive health planning, including assessing health needs and alternatives, determining gaps and overlaps in existing health programs, and recommending courses of action that may be taken to achieve the targeted priority health goals.

TYPES OF ASSISTANCE

Project grants.

USES AND USE RESTRICTIONS

Grant funds are to be used for area wide comprehensive health planning purposes. No more than 50 percent of the project's total budget may be expended for contract services.

Unallowable costs: alterations and renovations which exceed $50,000; contingency reserves; entertainment; production of films; foreign travel; honorarium; insurance on equipment and property; construction or purchase of buildings or land; trainee stipends; and subgrants.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: Any public agency (except the State comprehensive health planning agency) or private nonprofit organization concerned with health may apply.
2. BENEFICIARY ELIGIBILITY: Same as applicant eligibility.
3. CREDENTIALS/DOCUMENTATION: Nonprofit status, civil rights certification, and city demonstration agency certification if the plan affects the model cities programs.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: Applicant must notify both the State and either the regional or metropolitan clearinghouse of the intent to apply. Clearinghouses have 30 days to coordinate comments of other interested agencies. Applicant must submit formal application to clearinghouse and allow 30 days for comments.
2. METHOD OF APPLICATION: Submission of a completed Form HSM-90-1, Application for Health Planning or Health Services Project Grant, describing the area, organization, community relationships, and work program and the proposed amount of the grant.
3. DEADLINES: December 1; March 1; June 1; and September 1.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: 3 months.
5. APPEALS: None.
6. RENEWALS: Same as method of application.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Project.
2. MATCHING REQUIREMENTS: The Federal share will not normally exceed 50 percent of the costs of areawide health planning projects. Depressed areas meeting certain requirements may be eligible for 75-percent Federal support.
3. LENGTH OF ASSISTANCE PERIOD: Organizational grants, up to 2 years; operational grants, up to 5 years.
4. TIME PHASING OF ASSISTANCE: Not applicable.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: Annual progress reports are to be submitted with continuation applications and a final progress report is due 120 days after the end of the project period. Expenditure reports are required 60 days after each budget period and 120 days after the end of the project period.

2. AUDITS: Grants are subject to inspection and audit by representatives of HEW to verify financial transactions and determine whether funds were used in accordance with applicable laws and procedures; to provide management appraisals; and to determine reliability of financial records and reports.
3. RECORDS: All grantees are required to maintain grant accounting records until audit by or on behalf of HEW or for 5 years after the end of the budget period, whichever is the lesser.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 09-20-0318-0-1-650.
2. OBLIGATIONS: Fiscal year 1970, $7,709,000 estimate; fiscal year 1969, $6,982,614.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: $14,000 to $300,000.
5. OUTPUT MEASURE: Fiscal year 1970 estimate, 41 inital planning grants and 27 initial organizational grants; fiscal year 1969, 7 initial planning grants and 39 initial organizational grants.

PROGRAM LITERATURE

"A Directory of State and Areawide CHP Agencies Supported under Section 314, Public Health Service Act as of October 1, 1969," no charge; "Fact Sheet on Comprehensive Health Planning," Comprehensive Health Services, no charge; "Information and Policies on Grants for Comprehensive Areawide Health Planning" (limited supply, under revision), no charge.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: Each HEW Regional Office has a staff responsible for the administration of this program. (See appendix for a list of regional offices.)
2. HEADQUARTERS OFFICE: Dr. Harold Herman, Director, Division of Comprehensive Health Planning, Room 7A49, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20852, Telephone: (301) 443-1660.

15.713

PROGRAM TITLE

WATER QUALITY MANAGEMENT TECHNICAL PLANNING ASSISTANCE

POPULAR NAME

NONE

ADMINISTERING AGENCY

FEDERAL WATER POLLUTION CONTROL ADMINISTRATION, DEPARTMENT OF THE INTERIOR

AUTHORIZATION

Water Pollution Control Act, Public Law 84–660, as amended by Public Law 87–88, Public Law 89–234, and Public Law 89–753, Section 3(a).

OBJECTIVES

To work in cooperation with State, local, or regional agencies to develop water quality management plans for river basins, or portions or basins.

TYPES OF ASSISTANCE

Provisions of Specialized Services.

USES AND USE RESTRICTIONS

Technical planning assistance is offered to develop water quality management plans. These plans serve as the basis for the establishment of waste treatment facilities and other pollution control improvements needed to meet desired water use objectives. Due regard shall be given to improvements needed to conserve and enhance water, for public water supplies, propagation of policy, aquatic life and wildlife, recreational purposes, and agricultural, industrial and other legitimate uses. Planning must be consistent with any applicable water quality levels established pursuant to current law.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: Other Federal agencies, State pollution control agencies, municipalities, interstate agencies, and industries.
2. BENEFICIARY ELIGIBILITY: Not applicable.
3. CREDENTIALS/DOCUMENTATION: None.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: None.
2. METHOD OF APPLICATION: Contact Regional Director, FWPCA, in appropriate region.
3. DEADLINES: None.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: Not applicable.
5. APPEALS: Not applicable.
6. RENEWALS: Not applicable.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Not applicable.
2. MATCHING REQUIREMENTS: Equivalent or partial participation in development of water quality management plan as set out in initial work program.
3. LENGTH OF ASSISTANCE PERIOD: Indefinite.
4. TIME PHASING OF ASSISTANCE: As required by mutual determination.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: None.
2. AUDITS: Not applicable.
3. RECORDS: Not applicable.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 10–80–1201–0–1–401.
2. OBLIGATIONS: Fiscal year 1970, $8,600,000, estimate; fiscal year 1969, $8,024,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: $20,000–$1,000,000.
5. OUTPUT MEASURE: Fiscal year 1969, 11 plans developed.

PROGRAM LITERATURE

Office of Information, Federal Water Pollution Control Administration, Washington, D.C. 20242.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: See appendix for list of regional offices. Initial contact should be made at regional level.
2. HEADQUARTERS OFFICE: Mr. Albert J. Erickson, Chief, Basin Planning Branch, Federal Water Pollution Control Administration, Department of the Interior, Washington, D.C. 20242, Telephone: (703) 557–7716.

Ozarks Regional Action Planning Commission

Exhibit 7

52.001

PROGRAM TITLE

OZARKS REGIONAL ECONOMIC DEVELOPMENT

POPULAR NAME

SUPPLEMENTAL GRANTS-IN-AID

ADMINISTERING AGENCY

OZARKS REGIONAL ACTION PLANNING COMMISSION

AUTHORIZATION

Public Works and Economic Development Act of 1965; Public Law 89–136 as amended by Public Law 90–103 and Public Law 91–123; 42 U.S.C. 3188a.

OBJECTIVES

To enable States and other entities to take maximum advantage of Federal grant-in-aid programs for the construction or equipping of facilities or the acquisition of land.

TYPES OF ASSISTANCE

Project grants.

USES AND USE RESTRICTIONS

Supplemental grants-in-aid provide a portion of the local share of Federal grant-in-aid programs for the construction or equipping of facilities or the acquisition of land when the community, because of its economic situation, cannot supply the matching share. Total Federal assistance cannot exceed 80 percent of eligible project cost.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: States and other entities within the region (generally any political subdivision or private or public nonprofit organization).
2. BENEFICIARY ELIGIBILITY: Same as applicant eligibility.
3. CREDENTIALS/DOCUMENTATION: None.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: By State liaison officer on Commission staff.
2. METHOD OF APPLICATION: Through State member of Commission (Arkansas, Kansas, Missouri, Oklahoma) to the Commission.
3. DEADLINES: None.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: 3 months.
5. APPEALS: None.
6. RENEWALS: None.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Supplementary grant to bring Federal contribution up to 80 percent of eligible cost.
2. MATCHING REQUIREMENTS: The State or community must finance the remaining project costs, not less than 20 percent.
3. LENGTH OF ASSISTANCE PERIOD: Not available.
4. TIME PHASING OF ASSISTANCE: Supplemental grants are disbursed by basic grant agencies in same manner as basic grant assistance.

POST ASSISTANCE REQUIREMENTS

1. REPORTS: As required by basic grant agency.
2. AUDITS: All records relating to the grant are subject to audit by the Regional Commission and by the Comptroller General of the United States, or their designee(s).
3. RECORDS: As necessary for above-mentioned audit.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 06–10–2030–0–1–507.
2. OBLIGATIONS: Fiscal year 1970, $4,020,000 estimate; fiscal year 1969, $2,770,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: Amount of Commission assistance cannot extend total grant assistance to more than 80 percent of eligible project costs.
5. OUTPUT MEASURE: Fiscal year 1969: 22 projects.

PROGRAM LITERATURE

Application forms available from Commission office, Mart Building, Little Rock, Ark.

INFORMATION CONTACTS

1. REGIONAL OR LOCAL OFFICE: Office of the Governor: Little Rock, Ark., Topeka, Kans., Jefferson City, Mo., Oklahoma City, Okla.
2. HEADQUARTERS OFFICE: Office of Federal Cochairman, Ozarks Regional Commission, U.S. Department of Commerce, Washington, D.C. 20230. Telephone: (202) 967–2572.

Ozarks Regional Commission, Mart Building, Little Rock, Ark. Telephone: (501) 664–5610.

Kansas
Missouri
Arkansas
Oklahoma

Four Corners Regional Action Planning Commission

Exhibit

PROGRAM TITLE — **38.001**

FOUR CORNERS REGIONAL ECONOMIC DEVELOPMENT

POPULAR NAME

SUPPLEMENTAL GRANTS-IN-AID

ADMINISTERING AGENCY

FOUR CORNERS REGIONAL ACTION PLANNING COMMISSION

AUTHORIZATION

Public Works and Economic Development Act of 1965; Public Law 89–136 as amended by Public Law 90–103, and Public Law 91–123; 42 U.S.C. 3188a.

OBJECTIVES

To enable States and other entities to take maximum advantage of Federal grant-in-aid programs for the construction or equipping of facilities or the acquisition of land.

TYPES OF ASSISTANCE

Project grants.

USES AND USE RESTRICTIONS

Supplemental grants-in-aid provide a portion of the local share of Federal grant-in-aid programs for the construction or equipping of facilities or the acquisition of land when the community, because of its economic situation, cannot supply the matching share. Total Federal assistance cannot exceed 80 percent of eligible project cost.

ELIGIBILITY REQUIREMENTS

1. APPLICANT ELIGIBILITY: States and other entities within the region (generally any political subdivision or private or public nonprofit organization).
2. BENEFICIARY ELIGIBILTY: Project must benefit one of public units described above, and not a single user.
3. CREDENTIALS/DOCUMENTATION: None.

APPLICATION PROCESS

1. PREAPPLICATION COORDINATION: Conference before formal application submission.
2. METHOD OF APPLICATION: Written application to both State alternate and Commission headquarters.
3. DEADLINES: Not applicable.
4. RANGE OF APPROVAL/DISAPPROVAL TIME: 60 days.
5. APPEALS: None.
6. RENEWALS: None.

ASSISTANCE CONSIDERATIONS

1. TYPE OF GRANT: Supplementary grant to bring Federal contribution up to 80 percent of eligible cost.
2. MATCHING REQUIREMENTS: The State or community must finance the remaining project costs, not less than 20 percent.
3. LENGTH OF ASSISTANCE PERIOD: As required by basic agency.
4. TIME PHASING OF ASSISTANCE: Supplemental grants are disbursed by basic grant agencies in same manner as basic grant assistance.

POST ASSISTANCE REQUIREMENTS

1. REPORT: As required by basic grant agency.
2. AUDITS: All records relating to the grant are subject to audit by the Regional Commission and by the Comptroller General of the United States, or their designee(s).
3. RECORDS: As necessary for above-mentioned audit.

FINANCIAL AND OUTPUT INFORMATION

1. ACCOUNT IDENTIFICATION: 06–10–2030–0–1–507.
2. OBLIGATIONS: Fiscal year 1970: $2,595,000 estimate; fiscal year 1969: $2,095,000.
3. FACE VALUE OF LOANS: Not applicable.
4. RANGE OF FINANCIAL ASSISTANCE: Amount of Commission assistance cannot extend total grant assistance to more than 80 percent of eligible project costs.
5. OUTPUT MEASURE: Fiscal year 1969: 23 projects.

PROGRAM LITERATURE

"Guidelines and Procedures—Four Corners Regional Commission Financial Assistance Program", by Four Corners Regional Commission, Petroleum Plaza Building, Farmington, N. Mex.

INFORMATION CONTACTS

Utah
Colorado
Arizona
New Mexico

1. REGIONAL OR LOCAL OFFICE: Commission Headquarters, Four Corners Regional Commission, Petroleum Plaza Building, Farmington, N. Mex. 87401, Telephone: (505)327–9626.

State Alternates: Mr. Elie Gutierrez, State Planning Office, State Capitol, Santa Fe, N. Mex., Telephone: (505)827–2315; Mr. Stan Womer, Office of the Governor, State Capitol, Phoenix, Ariz., Telephone: (602)271–4331; Mr. D. Howe Moffat, Industrial Promotion Commission, State Capitol, Salt Lake City, Utah, Telephone: (801)322–1137; Mr. Dwight Neil, Department of Business Development, State Office Building, Denver, Colo., Telephone: (303) 892–2350.

2. HEADQUARTERS OFFICE: Commission Headquarters, Four Corners Regional Commission, Petroleum Plaza Building, Farmington, N. Mex. 87401.

Federal Cochairman's Office, Four Corners Regional Commission, Office of the Federal Co-Chairman, 1898 Commerce Building, Washington, D.C. 20230, Telephone: (202)967–5534.

INTERSTATE LIBRARY OPERATIONS IN THE UNITED STATES

A Critical Review

by

Genevieve M. Casey
Associate Professor, Library Science
Wayne State University

I have been asked to review for you the major examples of interstate library cooperation, and to evaluate their success or failure as a guideline for you in your planning for the Southwest region. The information I can give you is based upon published sources and upon a few as yet unpublished position papers prepared for the ALA/USOE Conference on Interlibrary Communications and Information Networks (CICIN) to be held in Virginia at the end of this month. I cannot claim to have identified every example of interstate library cooperation, nor can I give you firsthand evaluation. Often, the only evidence available for the success of an enterprise is its survival over a period of years. Excluded from consideration will be the state-wide or regional networks within states, emerging under the Library Services and Construction Act Title III and the Higher Education Act, Title II, although these developments must greatly influence your plans for the Southwest region.

Never has the need for the coordinated development and utilization of library resources been more widely accepted, although the dream of local self-sufficiency dies hard, as is documented in Richard Chapin's position paper on Limits of Local Self-Sufficiency prepared for the CICIN.

Several official policy statements released by the American Library Association reflect the concensus of the library profession Mr. Chapin notwithstanding that no one library and no one type of library can be self-sufficient in serving its users.

With the exception of the school media standards, which encourage district-wide, regional, and state instructional media centers but seem to be unaware of the existence of other types of libraries to which schools might

beneficially relate, all the other statements of standard and objective by major types of library divisions in the American Library Association refer specifically to the importance of interlibrary cooperation. The Public Library Association makes a fundamental commitment to interlibrary coordination, in that its most recent standards are Minimum Standards for Public Library Systems. However, as early as 1956 the Public Library standards stated: "Libraries working together, sharing their services and materials can meet the full needs of their users. The cooperative approach on the part of libraries is the most important single recommendation."

The most recent standards for college libraries, adopted by the Association of College and Research Libraries in 1959, include a strong statement on cooperation with other college, university, school and public library agencies in the community, region, state and in the nation, for the benefit of students and faculty and also on the college library's responsibility to help in providing reference service to readers beyond its campus. The ALA Standards for Junior College Libraries contains a similar statement on interlibrary cooperation with the emphatic proviso that cooperative arrangements with other libraries ought not to be viewed as a substitute for an adequate library in the junior college itself.

In the Standards for Library Functions at the State Level (1970) the task of fostering the coordination of library resources and services is identified as one of the major roles of the state library. Underlying the entire statement of standards and objectives is the conviction that not only must "the total library and information resources of the state be developed, strengthened and coordinated as a whole," but also that the

emerging systems of public, school and academic libraries within the state must be "linked in a defined relationship with each other and with other information services to form 'networks of knowledge'."

In addition to the mandates for interlibrary coordination carried in the standards for various types of libraries, in June 1967 the boards of directors of four American Library Association divisions, the associations of public, state, school and college and research libraries, approved a joint statement on interlibrary cooperation. The statement set forth "the imperative need for cooperation" (generated by such factors as changes in American education and culture which have resulted in increasing and accelerating reader demands upon libraries, changes in quantity and variety of published materials, and developments in technological applications for libraries, plus rising costs of materials, equipment and service) and principles for attaining effective cooperation. Within the assumption that "no one library can be self-sufficient," and that "libraries acting together can more effectively satisfy user needs" the statement outlines the prerequisites for fruitful interlibrary cooperation: 1) that primary responsibility for each type of library to its special clientele must be defined before interlibrary cooperation can be established to augment service; 2) that effective cooperation depends upon adequate resources, administrative capability and efficient communications; 3) that although the primary responsibility of each library must be respected, each library must realize its responsibilities to the network and assume its appropriate share of responsibility; 4) that all libraries must main-

tain an attitude of flexibility and experimentation.

Three years ago, the ALA Council adopted as one of its major "goals for action" the development and support of a national system for information retrieval. The Conference on Interlibrary Communications and Information Networks is an outgrowth of this council action and is expected to produce guidelines for future action.

The National Advisory Commission on Libraries in its 1968 report to the President emphasizes over and over the need for improving the coordination of library resources. To those who imagine that interlibrary loan as it is currently practiced has resolved the problems of access for all Americans to the human record, the commission warns:

> "The present cooperative arrangements between libraries to make materials available are slow and inefficient and are costly to the relatively small number of libraries that are called upon to provide a major part of this service without recompense. Furthermore, the present difficulties in the way of interinstitutional physical access to publications forces research and other libraries at high cost to acquire, catalog and house large amounts of little-used materials ... It is apparent that national, regional and state planning is needed to facilitate physical access to publications generally, using any technological aids that it is feasible to employ ... new thinking and planning are critically needed regarding the distribution of responsibility and financial support to the various types of libraries within each region ..."[1]

Although exciting developments are occuring now in almost every state one must confess that examples of multi-state interlibrary cooperation which refelct the "new thinking and planning" advocated by the National

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[1]Report of the National Advisory Commission on Libraries, Congressional Record: Proceedings and Debates of the 90th Congress, 2nd Session, October 14, 1968. p. 12-15.

Advisory Commission, are relatively few in number, and not without problems.

Physical access to the human record must be preceeded by bibliographical access. Perhaps the oldest examples of interstate cooperation are the two major bibliographical centers, organized to locate resources within their wide regions. These are the Pacific Northwest Bibliographical Center, headquartered at the University of Washington in Seattle and the Bibliographical Center for Research, Rocky Mountain Region located at the Denver Public Library. Both centers began over thirty years ago, both maintain author-entry card files of holdings of major libraries in several states (The PNBC, four states, Washington, Oregon, Idaho and Montana; the Rocky Mountain Center, fifteen states from Arizona and New Mexico to North and South Dakota). Both centers have massive files. PNBC estimated seven million cards, as long ago as 1961, and the Rocky Mountain Center now estimates over three million cards. Both centers are somewhat subsidized by regional library associations, and by the institutions in which they are housed, the University of Washington and the Denver Public Library. Both centers are supported largely by user fees, and both are in financial difficulty, finding the massive card files (rapidly growing as acquisition has accelerated especially in the university libraries in the region) more and more expensive to maintain and to query. Both centers have conducted studies of their future role and financial structure within the last year,[2] and find themselves facing a somewhat uncertain future. Recommendations in both studies are remarkably similar. Massive catalogs in card form are increasingly impractical to maintain and to query. With the possibility now of the MARC tapes, it would seem necessary to convert the retrospective

2 Genevieve Casey, The Future Role and Financial Structure of the Bibliographical Center for Research: A Reconnaisance Study. (Denver: the Center, 1969) and Lura Currier, Sharing Resources in the Pacific Northwest. (Olympia: Washington State Library, 1969).

catalogs to some distributable form (print or microform) and begin a new data bank in machine readable form which can produce as a byproduct state union lists which the emerging state networks are discovering a need. Effort and money presently tied up in the maintenance and querying "by hand" of the present catalogs could then be spent in creating a whole universe of bibliographic tools which the networks and growing university libraries need -- union lists of serials and periodicals, microfilm, film, state documents, as well as the union lists of the holdings in major libraries of each state. That the emerging state reference and interlibrary loan networks are making the regional bibliographical centers more needed than ever is documented by the fact that the Rocky Mountain Center is rapidly growing in volume of requests (eighty percent between 1964 and 1968, and seventy-four percent between the first quarter of 1968 and the same period in 1969), and that it locates over ninety-four percent of the material requested, seventy-two percent in the Rocky Mountain Region. Both centers have traditionally accepted as members, individual libraries of all types. Both are now moving away from multiple relationships with hundreds of individual libraries to contracts with the state-wide emerging networks. Both studies recommend that the centers become the hub of a regional network of state-wide libraries.

In addition to the massive union catalogs on cards, maintained by the bibliographical centers, computerized union lists are being developed by many libraries, sometimes across state lines. For example, your own Southwest Academic Library Consortium was established under a federal grant in 1967 to "coordinate serial purchases, develop union lists and improve interlibrary loan." Twenty academic libraries now participate in this con-

sortium. A union list of serials including holdings of libraries in Texas and New Mexico has been produced.

The plight of the regional bibliographical centers as well as the emergence of expensive computerized lists, underscores the need for definitive answers to many questions in network design: How does the high cost of multiple locations in union catalogs balance against the cost of subsidizing a few major resource libraries? How does the cost in time and money for querying a bibliographical center balance against the "hit-or-miss" approach of the interlibrary loan? How does the cost/benefit ratio of catalogs of subject strength compare to the cost/benefit ratio of the vastly more costly but more precise union catalog? The Ohio Union Catalog for example maintains literally hundreds of entry cards for titles on Bibles in the Cincinnati Public Library which are queried rather seldom. Would the simple understanding that Cincinnati Public Library has the best collection in the region on Biblical literature be enough?

Gordon Williams suggested in the Library Journal[3] that we ought to designate a few libraries in the nation as interlibrary loan centers with first obligation to the nation rather than to a local clientele. Richard Chapin, in his CICIN position paper proposes that we identify and designate "libraries of excellence" responsible for collecting, organizing and making available all material in a given field, thus eliminating the need for costly location tools or switching devices.

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[3]Gordon Williams, "Academic Librarianship, the State of the Art." Library Journal 91:2413-2318. May 15, 1966.

Plans to improve both bibliographical and physical access to materials in the southwest region must take into consideration the national Interlibrary Loan Code as well as the proposed "Model Interlibrary Loan Code for Regional, State, Local or Other Special Groups of Libraries," and the position of the Association of Research Libraries.

The National Interlibrary Loan Code most recently revised by the Reference Services Division of ALA in 1968[4] takes the view that "the purpose of interlibrary loan is to make available for research materials not owned by a given library." It is conceived as a priviledge to be sought only for faculty and graduate students and limited to unusual items which the borrowing library does not own and cannot readily obtain at moderate cost. Ordinarily excluded are U.S. Books in print of moderate cost, serials when the item can be copied at moderate cost, rare materials, including manuscripts, basic reference materials, genealogical, heraldic, and similar materials, bulky or fragile materials which are difficult and expensive to pack (e.g., newspapers) and typescript doctoral dissertations when fully reproduced in microfilm and readily available.

In 1968, when it promulgated the latest national interlibrary loan code, the Reference Services Division also released for comment a "Model Interlibrary Loan Code for Regional, State, Local or Other Special Groups of Libraries."[5] This code was intended to complement the national code, and

[4] National Interlibrary Loan Code (Chicago: American Library Association, 1968)

[5] American Library Association, Reference Services Division, Inter-Library Loan Committee, "Draft of a Model Interlibrary Loan Code for Regional, State, Local or Other Special Groups of Libraries," Special Libraries 59:528-30 (September, 1968).

recognized the need for fundamental changes in interlibrary borrowing and lending practices to accomodate the growing needs of the American people and the new patterns being developed in state and regional networks. In order to provide for full utilization of state and regional resources, and thus to avoid over-use of a few very large national collections, the proposed code recommended a much more liberal lending code within state and regional networks. As summarized by Marjorie Karlson, Chairman of the American Library Association Reference Services Division Interlibrary Loan Committee, the principal differences between the Model Regional Code and the National Code are:

1) Borrowing is not limited to research purposes.
2) There is no borrower statement -- anyone presumably is eligible.
3) Almost everything can be requested.
4) There is a strong statement on the responsibility of any library to develop collections adequate to meet its normal needs; freer interlibrary loan should not diminish local efforts to build resources.
5) Requests to borrow should be channeled through some central agency, often the state library, where requests can be serviced in some cases, screened, and the load on other libraries distributed equitably.
6) Funding of state plans is considered.
7) Standard ALA forms may be used but it is likely that most states will use TWX or Telex installations, thereby simplifying and speeding up procedures.
8) All types of libraries may be included.
9) Participation presumably will be voluntary, and contracts for services are foreseen.
10) Agreements or contracts among or with individual libraries are not precluded.

Although, as stated in Marjorie Karlson's point three, "almost anything can be requested" the code does recommend that libraries do not ordinarily request a) "books in current and/or recurring demand, b) bulky or fragile materials, c) rare materials, d) large number of titles for one person at any one time, e) duplicates of titles already owned, f) materials which can

be copied cheaply, g) materials for class reserve or other group use."

The model code was conceived as subject to change or modification before adoption by any local, state, regional or other group of libraries. As stated above, its fundamental purpose was to provide for the maximum use of local resources, and thus to minimize pressure upon the large research libraries of the nation.

Nevertheless, the liberalizing of interlibrary loan privilege as recommended in the Model Interlibrary Loan Code for Regional, State or Other Special Groups of Libraries and as practiced in most of the emerging state networks has alarmed some members of the Association of Research Libraries. A position statement on the model code, proposed for the Association of Research Libraries by Arthur McAnally, Director of the Oklahoma University Library affirmed continuing commitment to the principle of ready access to information by all who need it, but emphasized that the increasing volume of interlibrary loan was placing unduly heavy burdens on libraries with nationally important collections, to the point where these libraries may soon have to terminate interlibrary lending altogether or curtail it drastically unless some method of reimbursement of cost is provided. Dr. McAnally proposed the following guidelines for research libraries participating in state or regional interlibrary loan systems:

1) The needs of the library's own clientele and its obligations to the authorities who established and support it must come first. No library should agree to participate in a regional or state interlibrary loan system to an extent that would reduce the

quality of service to its own legal or basic clientele.

2) After its obligations to its own clientele, the next level of obligation in a research library of national strength is to the Nation, that is, to the National Interlibrary Loan Code. Participation in a regional or state system should not be at the expense of fidelity to the National Interlibrary Loan Code.

3) Any regional or state interlibrary loan code must contain a statement on the necessity for all libraries to continue to make vigorous efforts to develop library collections adequate to meet the normal, everyday needs of their own basic clienteles.

4) Any regional or state interlibrary loan code should contain provisions which will assure that the burden of interlibrary lending will be distributed as equitably as possible and that it will not fall on just a few libraries, with the exception of a state library. (It is recognized that in some interlibrary loan systems contracts may be negotiated with research libraries to serve as "resource libraries" for the system.) Research libraries should be used as supports to any regional or state interlibrary loan system in which they decide to participate, rather than as the basic supplier of library materials for the system.

5) To secure an equitably distribution of the interlibrary lending burden, a central state agency should screen all interlibrary

loan requests submitted through the system. In most states the logical screening agency will be the state library.

The screening process should be done by professional librarians. It should restrict requests to research libraries chiefly to those items needed for research which are not available elsewhere in the state or region.

6) As a condition of participation in a regional or state interlibrary loan system, a research library must be able to designate those categories of users which it will serve, the type of materials which it will lend and the conditions of loan.

7) Any research library which participates in a regional or state interlibrary loan system should be reimbursed for loans or photocopies made through the system. The amount of reimbursement may vary from state to state and region to region and may take a veriety of forms. But the principle or reimbursement should be recognized and adhered to. If it is not, research libraries will not be able to bear the additional costs which will result from expanded interlibrary loan effort, and, consequently, will not be able to participate in any proposed system.

8) Any research library should reserve the right to conduct its own interlibrary borrowing and lending programs directly with other research libraries, either in or out of the state or region served by the system.

9) Any research library which participates in a regional or state interlibrary loan system should do so on the basis of a formal written contract which specifies the conditions of participation. This contract should be submitted to the governing board of the library for approval.

These guidelines were approved by the executive board of the Association of Research Libraries at its annual meeting in January, 1969, with the addition of a paragraph which stated: "The Association of Research Libraries recognizes that any ultimate solution to the general problem of expanded library services, including interlibrary loans will probably require federal financial support to research libraries which serve as national as well as local or regional resources."

The Southwest region will certainly wish to plan with and continue to use the resources already available at the Rocky Mountain Bibliographical Center, to use and expand the computerized union lists already available and to consider the advantage of identifying and developing "collections of excellence" (subject strengths) for the benefit of scholars in the Southwest.

With the volume of interlibrary loan growing astronomically, all over the country, the need grows to develop formal arrangements on a regional basis to relieve the pressure from the great research libraries (mostly in the east and in California) and from the Library of Congress. In 1927/28,

for example, the Library of Congress loaned 3723 volumes. Forty years later, on 1967/68, it loaned 258,573 volumes. Last year the Library of Congress initiated an experiment with the Rocky Mountain Bibliographical Center, in which the Center agreed to handle all requests from the region, switching via TWX to Washington only those requests not available in the region. The findings of this experiment should be significant for your planning in the Southwest and for national planning.

Another outstanding example of inter-state cooperation began in 1949 when 10 Mid-Western Universities initiated the Midwest Interlibrary Center, a not-for-profit corporation with the primary purpose of increasing the library research resources available to cooperating institutions in the Midwest. Its four general areas of activity were to be:

1) The deposit into a common pool of the infrequently used library materials held by the participating institutions in order to reduce their local space needs, and also to make more readily available when needed more complete collections than any one of the participating libraries itself could reasonably maintain for its own exclusive use.

2) The cooperative purchase and centralized cataloging and housing of infrequently used library research materials that were not already adequately available to the participants.

3) The centralized acquisition and cataloging of the materials acquired by the participants for their own collections.

4) The coordination of the acquisitions of the individual participating libraries to avoid unnecessary duplication.[6]

With the aid of substantial grants from Carnegie Corporation and the Rockefeller Foundation, and the gift of land from the University of Chicago, the Center completed a new building with storage capacity of three million volume and opened for business in 1951. During its early years, the Center confined its activities to the storage of materials, and later began to emphasize cooperative acquisition of such research materials as foreign dissertations, state and US documents, and foreign newspapers. Gradually, the Center, conceived as a regional organization, began to assume many of the characteristics of a national interlibrary center while its support base continued to be regional (and increasingly inadequate), some members began to question whether the Center was worth its cost to its members, to ask how well it was accomplishing its stated purposes and whether it should be re-structured to offer a greater national and international service. In 1963 the Center's Board of Directors invited two of America's most distinguished librarians, Dr. Stephen McCarthy, then Director of Libraries at Cornell University and Dr. Raymond Swank, Dean of the School of Librarianship at the University of California, Berkeley, to undertake a fresh and unbiased survey of the Center, its present operations and its possible future activities.

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[6] The Report of a Survey with an Outline of Programs and Policies. Chicago: Center for Research Libraries, 1965.

After reviewing all phases of the Center's activities the surveyors concluded that "with the possible exception of the Farmington Plan, the Midwest Interlibrary Center has been the most ambitious, imaginative and successful cooperative venture yet undertaken by American research libraries and that as such it should be continued, encouraged and developed." They noted that the Center in its 12 years of operation had collected by deposit and acquisition over two million volumes of little-used research materials, that it had in fact broadened the range of research material available to Midwest scholars, that it had avoided for its member libraries needless duplication and expense and that it had provided a much needed mechanism for research libraries to work together.

However, the surveyors recommended that the Center should cease to be a regional agency and should become a national institution with closer ties with the Library of Congress, with other federal libraries and with the Association of Research Libraries. In fact the Center had already ceased to be a regional center three years before the survey, when it dropped all geographic restrictions on membership.

The Board of Directors accepted the advice of Des McCarthy and Swank, and in February, 1965 make sweeping changes in the administrative structure of the Center and changed its name to the Center for Research Libraries. The acquisition programs of the Center were accelerated although its storage function was maintained. According to its 1970 annual report, the Center for Research libraries now has 50 full and associate members and a collection of 2,750,000 volumes. Its relationship with the Association

of Research Libraries is close.

One other more modest regional storage cooperative has withstood the test of time -- the Hampshire Interlibrary Center, established in 1951 serves Amherst, Mount Holyoke, Smith and the University of Massachusetts. Although the Hampshire Center functions primarily as a deposit center for little used serials, it does have a small acquisition fund for the purchase of expensive sets.

Although the cooperative program of the Center for Research Libraries has been eminently successful, as was the Farmington Plan, agreements among individual libraries to specialize in certain materials for the benefit of other libraries, and/or to depend on other libraries for most material on a given subject have never succeeded. As early as 1941, the ALA convened a meeting of librarians to develop a national plan for resources specialization. In 1943, the Pacific Northwest Library Association held a regional conference for the same purpose. Both failed since each of the universities represented guarded its own autonomy, and felt obligation to collect materials to support its own research and teaching program. When funds are scarce, no individual library feels in a position to purchase materials for the benefit of other institutions; when times are more affluent, universities can afford to spend money to duplicate wanted material on their own campuses. Somehow, cooperatively owned material in a center separate from any single institution, like the Center for Research Libraries is more palatable than depending upon another individual library.

"The development of a regional medical library system in the United States," writes Brigitte Kenney, in her position paper on Network Services for Interlibrary Loan for the CICIN, "is the culmination of many years of planning on the part of medical librarians at the local, regional and national levels." Among the pioneers in this development have been Irwin Pizer, architect of the SUNY Biomedical Communications Network and Vern Pings, Director of Wayne State University Medical Library, who created the Detroit Metropolitan Library network. As a result of the Medical

Library Assistance Act of 1965 which provided funds for regional biomedical communication networks, ten regional medical library systems, each serving the health personnel in several states, have come into operation. Eleven regions have been designated with consideration given to existing interstate relationships. Each regional library is encouraged to determine its own organizational patterns, services, operating procedures and regulations. The New England region, for example, has highly centralized its services in the Francis A. Countway Library of Medicine at Harvard, whereas the Southeast Regional Library, with its headquarters at Emory University in Atlanta, has designated other medical libraries in the region (equal in strength to Emory) as primary sources for their immediate areas of service (commonly single states). The Pacific Northwest Medical Library, serving Alaska, Idaho, Montana, Oregon and Washington receives requests from the Pacific Northwest Bibliographical Center, and in Idaho and Washington from the state libraries. Regional medical libraries commonly screen all requests within their states, and forward to the National Library of Medicine only those requests which cannot be locally filled. Some regional libraries not only provide interlibrary loan and switching services, but also book selection and other consulting aid, as well as inservice training for medical librarians of their regions. Usually, TWX is used to tie the member libraries to each other, to the headquarters library and to the NLM. The flexibility of the regulations governing the regional medical libraries and the autonomy given to them to find their own patterns of operation and service could be considered as strength, although it has resulted as yet in ten regional medical

libraries, rather than in one single, cohesive medical library network.

The Keosippi Interstate Public Library system, headquartered in Keokuk, Iowa and serving three Illinois counties across the Mississippi began in 1965 and is the best example of local public library service operating under interstate library compact laws, although 13 states, as of 1966, had enacted such legislation. The Keosippi system is financed by an annual grant of $30,000 each from the Iowa and Illinois state libraries (under the Library Services and Construction Act). Each state has a separate contract with the Keokuk Public Library as does each cooperating library. Only those communities supporting a local public library are eligible to belong to the system. Services offered are those usually associated with public library systems: reciprocal borrowing, reference and interlibrary loan, centralized book ordering and processing, book selection aids, rotating collections of books, publicity materials, AV materials including films, recordings, art prints and equipment and consultant services.

Also under interstate compacts, state libraries in Idaho, Washington and Oregon, and in the New England states have pooled their resources to work on joint recruiting programs which no one state could afford to mount alone. With the exception of Connecticut, all the states in the New England recruiting cooperative had interstate compacts. Contrary to the expectation of the state librarian, Connecticut's Attorney-General ruled that a contract with the other states was not legal - an argument in favor of the southwest states striving to enact library interstate compact laws.

Several examples appear in the literature of libraries banding together across state lines for cooperative automation projects. The New England Library Information Network (NELINET) grew out of a systems study of six New England universities. Sponsored by the Council on Library Resources and administered by the New England Board of Higher Education, the project began in 1967 to offer three services: 1) A machine readable catalog data file, 2) catalog data file searching, and 3) production of catalog cards, book pockets and labels. Requests are received from the university libraries over data phone and delivered to them by mail. MARC is the communication standard adopted.

Two projects similar to NELINET have been discontinued. The Columbia/(Harvard)/ Yale Medical Library Computerization Project, begun in 1962 was the first cooperative on-line information retrieval system among universities and was designed to use the on-line system both for the production of catalog cards and the retrieval of bibliographical information. It was discontinued in 1966 with the departure of the project director. High costs and technological difficulties were cited as the reasons. The Chicago/Columbia/Stanford University project, funded for 18 months by the National Science Foundation was organized to test the feasibility of designing generalized automated systems for the acquisition ofmonographs, through cooperative effort. At the end of the grant period the project was discontinued because the geographic separation of the three libraries made meeting difficult and communication awkward or misleading, because of differences in technical terminology, library procedures, hardware and operating systems, and because of limited availability of senior staff.

David C. Weber, Director of Libraries, Stanford University in his Survey of Interlibrary Cooperation for the CICIN summarizes that experience in automation cooperatives indicates that it is necessary to determine precise goals, have strong continuing administration, have financial support from a foundation or agency (beyond the regular operating budget of the member libraries) and use technically feasible systems.

Allied to the automation cooperatives are the centralized cataloging and processing projects around the country, some of which cross state lines. The availability of MARC tapes now make centralized cataloging over a wide region more feasible - indeed may mandate such arrangements in the foreseeable future. The Eastern Shore Processing Center in Maryland serves public libraries in Delaware. In July, 1969,[7] Annette Phinazee and Jordon Casper of Atlanta University reported a proposal for "Centralized Library Purchasing and Technical Processing for Six Colleges in Alabama and Mississippi." These were all private, small, coeducational, undergraduate liberal arts colleges offering similar courses in at least 27 subjects. Enrollments ranged from 610 to 2,856, library size from 28,422 volumes to 135,000 volumes. At last report, the presidents and librarians of the colleges had agreed that a single center for the selection, ordering, cataloging, and processing of materials for all six colleges would be feasible and desireable. The librarians had agreed to standardize their procedures and to accept LC classification, and funds were being sought.

In planning for cooperative cataloging/processing, especially over a wide region, it would be well to weigh Charles Nelson's opinion based on

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[7]Annette H. Phinazee and Jordon L. Casper, "Centralized Library Purchasing and Technical Processing for Six Colleges in Alabama and Mississippi: A Report." College and Research Libraries 30:369-70. July, 1969.

wide study of public library systems and intensive study of New York state libraries, that the greatest economies of centralization are to be found in cataloging, not in purchasing or physical processing.

An informed and competent staff is the key to the success of any network. Recognizing this, several western states have banded together in a unique project using LSCA III funds to contract with the Western Interstate Commission for Higher Education (WICHE) headquartered in Boulder, Colorado to provide continuing education for librarians in the region. WICHE plans to conduct a series of conferences for librarians and library workers, across state lines, which will "encourage dialogue between public and school librarians and administrative personnel," and upgrade librarians through various programs of continuing education. Dr. Peter Hiatt, formerly on the faculty of Indiana University Library School takes up his duties this month as director of the Library Education Project. The WICHE project involving several western state libraries is one of the most ambitious programs for library continuing education in the nation, differing from many projects in that it integrates an entire region, making possible a level of training which would not be within the reach of any one state in this sparsely-settled region, and that it enables orderly, long-range planning rather than short-term fragmented focus.

Cooperative research and planning is another area which should lend itself to multi-state approach. One successful model is the cooperative research project on state library consultants, jointly funded by the state libraries of Illinois, Indiana and Missouri and conducted by the Illinois University Library Research Center.

Regional libraries for the blind and physically handicapped, affiliated with the Library of Congress, and serving patrons in several states have existed for many years. Usually neighboring states contracted with the nearest regional library for services to their blind and handicapped citizens. Since the passage of Title IVB of the Library Services and Construction Act, however, many states have established state libraries for the blind, usually at the state library.

In summary, then, multi-state cooperative library projects have been undertaken in the areas of: interlibrary loan (especially in centralized bibliographical control to facilitate physical access), centralized storage, cooperative acquisition of expensive and little-used material, automation and centralized cataloging/processing, continuing education, research and recruiting, and services to the blind and handicapped.

Most of the multi-state projects have involved not whole states but rather individual institutions often private colleges and universities. As state libraries have assumed responsibility for state-wide reference and interlibrary loan networks, there does seem to be a trend toward regional relationships involving all the libraries in several states. This trend may underscore the importance of interstate library compact legislation in all of the states.

The most viable multi-state cooperatives have or are seeking articulation with national netowkrs. Examples are the regional medical libraries, with their association with the National Library of Medicine, the Center for Research Libraries, now tied in with ARL and the federal libraries, the Rocky Mountain Bibliographical Center in its experimental partnership

with the Library of Congress and its continuing ties with the National Union Catalog.

David C. Weber, Director of Stanford University Libraries in his survey of interlibrary cooperation for the CICIN proposes the following conditions necessary for effective cooperation:

1) Innovative individuals to identify the need for cooperation and to recommend a course of action - often through a strong library association. The need must be clear and the results worth the effort.

2) Acceptance of leadership by at least one major institution.

3) Monetary support from government or foundations, with realistic plans for continued long-range financial support. (Plans based on sophisticated technology need substantive funds.)

4) Suitable technology available when needed.

5) Willingness on the part of participants to surrender a certain amount of self-sufficiency and independence.

Your attendance at this conference is proof that in the southwest you have met at least condition number one. You have innovative individuals and a strong library association. Hopefully, by the end of this conference you will have reached a concensus on the most obvious needs.

Dr. Weber then goes on to enumerate the major problems which you will need to face. These are:

1) Geographic. If increasing amounts of material are to be shared at distant locations, plans must be made to insure that material is made locally available, quickly and economically.

2) Political. Public support of libraries is inadequate and enabling legislation limited. Fear of loss of independent action or personal status as well as institutional pride must be accomodated. Copyright may prove a problem.

3) Cost. New revenues must be found rather than existing funds diverted.

4) Technological Barriers. Lack of inexpensive computer storage, telefacsimile devices, etc. have prevented rapid use of centralized collections or shared bibliographical data.

5) Widely Differing Standards and Procedures.

So far as I know, the Southwest Library Association is the first agency to undertake comprehensive planning for the coordination and improvement of all library resources and services within a region. You are the first group to attempt the "new thinking and planning" urged by the National Commission on Libraries. As such, you are on the wave of the future, and to you the rest of the nation must now look for models and guidelines.

THE NEED AND POTENTIAL IN THE SOUTHWEST FOR INTERSTATE INTERLIBRARY COOPERATION

by Edward G. Holley

At the Chicago conference in 1969, the late Flint Purdy, in a speech remarkable for its candor and hard-headed analysis of the "Interrelations among Public, School, and Academic Libraries," commented:

> We librarians have a marked tendency to write starry-eyed descriptions of innovative (and not so innovative) programs and ideas, but when they fail, or settle down into relatively routine operations, we remain silent. In these times of deification of innovation, it seems almost irreverent to ask whether an innovative program may fail or succeed - or even what its purpose is. Add the holy water of "cooperation," and innovative co-operation becomes unassailable.[1]

As we begin our deliberations on the need and potential for programs that are both innovative and cooperative for the six-state region comprising the Southwestern Library Association, I suggest that we keep in mind Dr. Purdy's comments. This seems all the more appropriate in view of the prospective decline in federal support for such programs and the legislative belt-tightening currently in vogue among most states across the country. For those with ethereal views perhaps it is enough to call attention to John Richard's guest editorial on "The Financial Plight of Louisiana Libraries,"[2] in the spring LLA Bulletin or to remind our Texas contingent that the lowest figure for new taxes to be raised by the upcoming legislature has been variously estimated at between two-hundred fifty and three hundred million dollars. While neither Mr. Richard's biting words nor our legislative trauma are encouraging in view of our bibliographical poverty, a little realism is surely warranted as we conduct our deliberations among surroundings that isolate us rather effectively from the stress and strain of the legislative halls.

Where do we stand and what are our needs in the Southwest as a region? Is there a clearly definable Southwestern region? Can the various states represented

here actually find a commonalty of interest in solving their library problems or are they so diverse and so preoccupied with solving their own state problems that they have little energy left for solving someone else's problems? Can we identify some areas or even one area in which cooperative effort will clearly and unmistakably benefit all states as well as give the participating libraries benefits commensurate with the effort expended?[3] These I take it are the hard questions to which this conference needs to address itself. Otherwise we are apt to leave the Inn of the Six Flags with that ever so pleasant glow occasioned either by the camaraderie of our idealistic discussions or the liquids supplied by its famous bar.

Actually, our six-state region shares a good many more characteristics than we may care to admit.Among them,particularly in the three states of Arizona, New Mexico, and Texas are vast geographic areas, often sparsely settled, with a concentration of the majority of the population, as well as the chief library resources, in a few urban areas.[4] Such population concentration is also characteristic of the other three states where the Little Rock metropolitan area is reported to contain one-third of the Arkansas population[5], where New Orleans contains one-fourth of Louisiana's population, and where Oklahoma City and Tulsa combined contain about forty-five percent of the total in Oklahoma. Grace Stevenson notes in her survey of Arizona that more than 70% of the population of that state is in the metropolitan areas of Tucson and Phoenix.[6] One could certainly draw a line from Dallas-Fort Worth-Denton through Austin-San Antonio and across to Houston and within that triangle hit sixty to seventy per cent of the Texas population. Albuquerque, meanwhile, is the population center of New Mexico. Such demographic characteristics are especially important for the seventies since all legislatures will be reapportioned to take into account the expansion of urban areas. However strong may be our commitment to providing library service to areas like Loving County (estimated population,

124)[7] it will no doubt bow in the face of political reality.

Perhaps this is also the place to mention the single outstanding characteristic of the six-state area we are discussing: the dominance of the state of Texas: in geographic area, in population, and in its central location. In appendix A, use of either projection shows Texas to contain about one-half the twenty-two million people in the six-state region. Comparable figures for geographic area indicate that Texas contains thirty nine and six tenths percent of the total. Perhaps it is significant, in terms of central location, that S.W.L.A. has traditionally held its biennial conferences every other time in Texas.

The recital of such facts is not intended to focus our attention on invidious comparisons nor to defend the chauvinism of which we Texans are too often guilty. Yet any plan or project designed for the six-state area will ignore these facts at its own peril. Early in our deliberations we might well pose the question as to whether or not Texas has the resources, the energy, the leadership ability, the vision, and, most important of all, the willingness to assume a positive and aggressive role in Southwestern interstate interlibrary cooperation. Perhaps equally important is the question of whether or not, given an affirmative answer to the above question,the other states would react positively to such a relationship.

With what other realities do we have to deal in the Southwest? There are eight metropolitan areas with more than 400,000 people and three with more than a million (See Appendix A). Only two public libraries, both in Texas, have more than one million volumes (Appendix C), though there are several other excellent public libraries in the half million category. The Southwest has four of the top fifty academic libraries in the U.S.: the University of Texas at Austin, Louisiana State University at Baton Rouge, University of Oklahoma and the University of Arizona[8], while Tulane University, Southern Methodist University and Oklahoma

State University have all now passed the one million mark in resources. While it is true that each of these universities has its own problems which make its resources less satisfactory than might at first appear, their combined strength constitutes an invaluable regional resource.

There are also strong special libraries in the Southwest, from atomic energy to theology, from agriculture to helium and from banking to petroleum geology. Moreover, special librarians as a whole have been vigorous participants in cooperative enterprises in most of our six states.

In terms of library education, the region contains six of the fifty ALA accredited library schools: L.S.U. at Baton Rouge, University of Oklahoma, Texas Woman's University, North Texas State University, and the University of Texas at Austin. New schools have been established at both Arizona universities and some undergraduate work is offered at a variety of universities. In view of the current and prospective state of the job market, the New Mexico survey recommendation against establishing a library school in New Mexico seems excellent advice.[9] All of the accredited schools except L.S.U. have started doctoral programs, with what results we cannot yet know, but there is at least some apprehension that none of the schools has assembled the kind of distinguished faculty that will enable it to offer strong doctoral programs. Continuing education programs have been few, mostly funded by the Higher Education Act of 1965, Title II-B. Some librarians think the lack of strong continuing education programs is our chief regional weakness and special librarians have been quite vocal about this point.

Looking at the state scene, all of the state library agencies are hampered both by lack of staff and lack of state funds. LSCA has obviously been an enormous part of their total operations and there is a real question as to how these agencies can continue their viability when such funds are substantially reduced (see Appendix D). As often occurs in libraries, the staffs are far better in quality than the

states deserve in terms of the salaries and state resources made available to them. Indeed, leadership from the state libraries in all of the various facets of library development during the past decade has been especially impressive. Their staffs have often been caught between the Scylla of legislators who thought they were moving too fast and the Charybdis of their professional colleagues who felt they were moving much too slowly. Particularly worthy of comment has been the manner in which state library agencies have involved both professional library associations and individual librarians in advisory and consultant capacities, e.g., Louisiana, Texas and New Mexico. No one would claim that such relationships have always been without friction, but, on balance, I suspect that the state agencies have done more for individual libraries and librarians than we have done for them. If state library agencies are in any sense to serve as avenues of leadership for interstate interlibrary cooperation in the Southwest, a substantial upward revision in their salary structures, annual budgets from the states, and legal responsibility is imperative. At this point in time none of us knows how the concept of creative federalism will work, but if the federal government is seriously interested in conferring additional responsibility upon the states, I do not see how most state library agencies can handle that responsibility without substantially increased staffs.

In the individual states, what has been done about the demographic realities in the sixties? All of our states have either already established or are evolving toward regional library systems, in recognition of the fact stated by the Humphry brothers in their Louisiana survey that "few libraries ... could afford to provide quality service, comprehensive collections of materials and assistance to the user"[10] by themselves. As the first "[illegible] Blazer Pilot/System of Northeast Louisiana" brochure states "Librarians, trustees [illegible] parish officials in your region have recognized that you need more information, more specialized information and you need it

more quickly than you've ever needed it before... whether for personal, business, or recreational purposes."[11] The assumption is that the thirteen public and three university libraries in this thirteen parish region will give it to them. This is, of course, merely the latest in a long series of such efforts to provide some kind of service to all areas of a given state and particularly to let rural areas know that, while librarians recognize their needs, most small communities will never be able to support decent library service for their patrons. The regional libraries in New Mexico, with their bookmobile programs in rural areas and their deposit stations, is an older program aimed in the same direction.[12] In some states such regional library programs are rather far advanced. One cannot help being impressed, for example, with Arkansas which has created so many multi-county units over the past twenty years[13], while Oklahoma has the enviable reputation of continuing to vote new taxes for regional library systems in a year when citizens are regularly turning down most tax proposals.[14] Texas has in operation an impressive system of resource centers, based upon a hierarchial pattern and linked by an increasingly important communications network.[15] The Arizona plan[16] is apparently moving ahead and the New Mexico survey recommends some restructuring of its regional plan which would give more service to the disadvantaged.[17] Like most of the recommendations this one will call for a decided increase in funding. Thus, despite some problems of crossing state lines in such border towns as West Memphis, Texarkana, El Paso, etc., the formation of regional libraries within Southwestern states has proceeded at a gratifying pace in the past decade. The chief problem in the immediate future will undoubtedly be funding, since most of these networks have depended heavily upon the Library Services and Construction Act appropriations for their basic operating costs.

Two other facets related to library networks have also achieved some

success in the Southwest during the sixties. Communications networks, whether by WATS telephone lines or some form of teletype, and union lists of a variety of materials have both appeared in strength. Neither of these can really be discussed separately since communications networks are more often hampered by the absence of bibliographic access than by another feature except trained personnel.

In terms of communications the Arkansas Library Commission has an OUT-WATS line, Louisiana has a TWX network, New Mexico has an IN-WATS line, while Oklahoma, like Texas, has a teletype system designed to link together major resource libraries, though unfortunately Oklahoma has TWX while Texas has TELEX. OTIS (Oklahoma Teletype Interlibrary System) links fourteen libraries including public, academic, and state, while the Texas State Library Communication Network links ten public libraries with the State Library and, through an interface with the University of Texas at Austin, can communicate with the twenty-five members of the Texas Information Exchange (public and private academic libraries) as well as the sixteen medical libraries which are members of the South Central Regional Medical Library Program. Most of these networks have some kind of federal funding.

As has already been indicated above, without access to bibliographic records the communications networks are sometimes like the young lady "all dressed up with no place to go." In some cases union lists or union catalogs preceded the networks and in others they have come afterwards. Occasionally they have developed concomitantly, though often without any conscious desire to link them to any existing network pattern. The Texas List, which evolved from the Houston List, was specifically designed to foster the sharing of academic library resources with industrial libraries and was not an important part of regional planning though it has been helpful in that respect. The production of such lists in the sixties was impressive. Private colleges in Arkansas plus a combination of libraries in the Little Rock area both published their union lists of periodicals. Various resource units in the Texas

system have followed the much earlier example of the Abilene libraries whose periodicals list, now in its eighth edition, goes back to 1952. There have been newspaper union lists, the massive Louisiana Union Catalog with its supplement, the somewhat misnamed Southwestern Union List, the Intermountain Union list, and other lists too numerous to mention. G.K. Hall has published the catalog of the Latin American Collection at the University of Texas at Austin, probably the leading Latin American collection in the country. The sum of $2,100 will bring it quickly to your library's door.

Some individual libraries have published exhibit catalogs, brochures, and annual reports which give information on their collections. A modest attempt at description of Texas resources is given in chapter XI of the Holley-Hendricks survey.[18] Dr. Roscoe Rouse's survey of New Mexico academic libraries, submitted as Appendix A of the New Mexico survey, gives some information on individual institutions.[19] In my opinion, the most promising of all the efforts now going on in the Southwest is the Library Resources Survey of the Louisiana State Library. The purpose of this survey is to "compile a descriptive catalog detailing the strengths of Louisiana's library resources. It should be a useful tool at all levels for interlibrary loan, patron referral, collection development, and for the identification of outstanding reference and bibliographical materials in academic, public, special, and school media center libraries."[20] Presumably this project will result in the publication of a valuable handbook which can be distributed widely to the various component units of Louisiana's various library systems.

There have been other cooperative projects in most states: workshops for training employees in small public libraries, individual surveys of a particular library or system, conferences like this one to discuss the future of cooperative ventures, subsidies to students to attend library schools, exchange of little-used

materials, a few centralized processing centers, automation projects, and some cooperative acquisitions programs. These have had both their successes and failures, but no one would claim that they have had the wide-spread support in the Southwest that regional library systems, union lists, and communications networks have had. This may say something to us in terms of the long-range plans to which we address ourselves during the next two days. For in a sense none of these projects have been very creative or innovative, to use the glamour words. On the other hand, if one allows himself a sense of perspective, most libraries came a lot farther down the road toward adequacy of services and collections during the sixties than we really care to admit. Regionalism, networks, union lists, and more sophisticated communications constitute a recognition that with all our efforts, which really are quite impressive, we are not and cannot be self-sufficient, but we can serve our own patrons better with a modicum of cooperation here and there.

What of the plans and potential to which you have invited me specifically to address myself? My first message to all of us is not to be afraid of doing our prosaic tasks nor of repeating those programs which have been accomplished successfully eslewhere. Nor should we, on the other hand, be lured into investing large sums of money in projects which have failed elsewhere. As one of the original enthusiasts for automation, I speak in terms of disappointment with the sixties. Many programs in this area have been singularly unsuccessful, but, alas, professional people rarely write about their failures. When the story can finally be told about the Florida Atlantic University failure, it ought to make interesting bedtime reading. My own reading in the field of automation leads me to believe that the rhetoric has often outdistanced the performance. On the other hand the Studer study [21] at Indiana seems to me to have significant findings on the use of MARC tapes as an SDI tool for faculty awareness and the Oklahoma Department of Libraries' MARC experiments seem to me one of the less publicized but more promising attempts to

make all of our work easier. We might all benefit richly from using the Oklahoma staff for our consultants for similar projects before we seek the silver-haired physicists from more remote sections of the country.

Next I suggest that handbooks, serials lists, newspaper lists, etc., may not be "creative" and "innovative" but experience indicates that library systems don't work well without them, or at least that they work more expensively without them. If we go back to Charles Nelson's statement that "Cooperation is desirable when it benefits the institutions individually or makes them more effective collectively,"[22] then most first-rate administrators of my acquaintance would opt for these activities over less immediately useful experiments.

We need also to remember, and to remind both the Congress and the Administration, that the initial impetus for federal programs for libraries, e.g. LSCA, ESEA, Higher Education Act II-A, was primarily to bring libraries up to some form of minimal adequacy. This may not be a very glamorous concept, but it certainly is a necessary concept for those libraries which cannot still provide basic service for their clientele whether it be the school child, the college student, the distinguished professor, or the "every day housewife." To quote Mr. Richard again, "Louisiana's libraries are not adequate, and we know it, and we must tell this story continuously until our local, state and federal governments have responded to the needs of their constituents."[23] Substitute any of the other five states for "Louisiana" in that quotation and you'll have a pretty good picture of the Southwestern region.

Now I do not mean to imply or suggest that governmental programs cannot be changed to achieve whatever other goals the American public is willing to support. But I must confess a total lack of sympathy for the shuffling game sometimes played in both state and federal programs where officials change the jargon and we all wind

up trying to match the new jargon to our needs in terms of applying for funds for tasks that still need desperately to be funded. We've not often had to do that with library programs, but the straws in the wind indicate a new direction may be upon us. In academic libraries, of course, we are more accustomed to this sort of activity, especially when it comes to matching money, or what one of my assistants calls "funny money." More often than not I discover that "funny money" has cost me a good deal in very real and expensive staff time. Yet we shall not serve our libraries well unless we take Mr. Richard's excellent advice and, as we talk about shifting priorities, we might well remember the basic tasks that remain undone.

Assuming there are some projects which might benefit all of us in the Southwestern region, which ones might stand a good chance of being received with some enthusiasm and achieving a small modicum of support?

1. State guides or handbooks to resources similar to the one underway in Louisiana. This might include compatibility of statistics since pulling together comparable statistics for the six-state region is a real problem.

2. Regional (but not total Southwestern regional) union lists of periodicals like the ones published by regions in Texas and Arkansas with maximum distribution to all regional libraries in the six-state region.[24] Lists based on the Council of Governments planning areas might very well be funded by such agencies.

3. Newspaper union lists in order to obtain some kind of bibliographic control over the region's own newspaper resources.

4. Coordinated resource development, primarily in local areas, but also across state lines where there are benefits to be derived by individual libraries in adjoining states. Example: the consortium serving West Texas and Eastern New Mexico.

5. Agreements, whether local or state, to share resources with a minimum of friction or cost, across various political and/or type-of-library barriers.

6. Achievement of compatibility among interstate and intrastate communications networks. For Texas, this certainly means changing the State Library's network from TELEX to TWX to conform to the rest of us.

7. Provision of some kind of Secretariat to facilitate the exchange of funds with a minimum of red tape, recognizing that "cash transactions can be an appropriate element in cooperative efforts."[25]

8. Encouragement for the new South Central Regional Medical Library Program to take the broadest possible view of what constitutes biomedical information and to move to integrate these sixteen medical libraries into the total network patterns in the Southwest. This is already being done, in part, through SCRMLP's participation in T.I.E.

9. Recognition that automation will be expensive, time-consuming, and much farther down the line than we've been led to believe. Therefore, cooperative assistance to the Oklahoma Department of Libraries for further experimentation with the MARC tapes.

10. Sharing of library personnel, particularly specialists, among all the libraries of the region, recognizing that there are unique capabilities among both librarians and related professionals in the Southwest.

There are other projects which might be undertaken but I'm not sure you or I can solve the problem of cost/benefit ratios (assuming it should be solved), patron mobility, self-sufficiency, the geographically or culturally deprived, and inflexible procedures, all of which were mentioned in some form or another at last year's conference. We are faced at the same time with having to locate and organize for use existing resources and developing or adding to those resources. All of these programs obviously cost time and money at a time when such money may be very hard to find. Yet we have always been able to find, even in the depth of the depression of the thirties, some money for those programs we regarded as most important. This may mean a stronger pitch at the state and federal level for funds for sharing resources in preference to supporting individual institutions. Unfortunately, as Title VIII of the Higher Education Act testifies so mutely, most legislators are not convinced that such programs have a high priority in our thinking, and let's admit that for most of us they really don't.

As I have earlier remarked, the decade of the seventies could be a real period of sharing, building upon the solid work already accomplished in the sixties. For that to be true, however, we shall have to be much more realistic about the

projects in which we engage. For we have gone about as far as we can depending upon the goodwill of institutions and the charity of individual librarians dedicated to cooperative ideals. Unless we will assume greater responsibility at our own state levels in persuading librarians of the vital role library services and systems can play in the state's total development, there seems little future for either state or regional cooperative library programs.

NOTES

[1]G. Flint Purdy, "Interrelations among Public, School, and Academic Libraries," in Leon Carnovsky, ed. Library Networks -- Promise and Performance (Chicago: University of Chicago Press, 1969), p. 52.

[2]John Richard, "The Financial Plight of Louisiana Libraries," LLA Bulletin, 33, (Spring, 1970), 3-4.

[3]A rather fundamental point, often overlooked in library cooperation. The conferees may find it useful to read again Charles A. Nelson's "Propositions and Hypotheses" in Charles A. Nelson, Dr. Richard H. Logsdon, and Scott Adams, "Library Cooperation: Panacea or Pitfall?," in Special Libraries, 56 (October, 1965), 571-574.

[4]See Appendices A and C.

[5]Information reported at last year's Title III, LSCA Workshop, Dallas, Oct. 2-3, 1969, but see Appendix A.

[6]Grace T. Stevenson, Arizona Library Survey; A Comprehensive Study of Library Services in Arizona with a Projection for Future Services. (Tempe: Arizona State University, Bureau of Educational Research and Services, Jan., 1968), p. 11.

[7]Texas State Library, Field Services Division. Texas Public Library Statistics for 1969 (Austin: Texas State Library, 1970), p. 109.

[8]"Selected Data for the 50 Largest Academic Libraries: United States, 1968-69", in The Bowker Annual of Library and Book Trade Information, 1970 (New York: R. R. Bowker, 1970), pp. 16-17.

[9]New Mexico's Library Resources: Present Status and a Plan for the Future: A Report to the New Mexico State Library and the New Mexico Library Development Council (Arthur D. Little, Inc., March, 1970), pp. 11-12.

[10]John A. Humphry and James Humphry III, Library Service in Louisiana; Keeping Pace with Progress in the State. A Report Prepared for the Louisiana Library Association. (New York, 1968), p. 68.

[11]"Trail Blazer Pilot Library System of Northeast Louisiana,"brochure.

[12]New Mexico's Library Resources, 1970, pp. 15-17.

[13]See Arkansas Library Commission, Fifteenth Biennial Report, July 1, 1965-June 30, 1967 front cover and Sixteenth Biennial Report, July 1, 1967-June 30, 1969, passim.

[14]"Positive Voter Action," Oklamoma Librarian, 20 (July, 1970), 23. See also Sally Harris, "Regional Development of Public Libraries in Oklahoma as Part of the National Plan for Public Libraries," Oklahoma Librarian, 20 (April, 1970), 8-14.

[15]"Public Library Network," in Edward G. Holley and Donald D. Hendricks, Resources of Texas Libraries (Austin: Texas State Library, Field Services Division, 1968), pp. 131-156, and Evaluation Number Two Texas State Library Communication Network, 1969 (Austin: Texas State Library, Field Services Division, 1970). An overview of the network situation in Texas can be found in my "Library Networks in the Soaring Seventies," Texas Libraries, 32 (Spring, 1970), 14-22.

NOTES (continued)

[16]Grace T. Stevenson, "Libraries for Arizona: A Plan," Arizona Librarian, 27 (Spring, 1970), 9-20.

[17]New Mexico's Library Resources, 1970, pp. viii-ix.

[18]Holley and Hendricks, op. cit., ch. xi, "Subject Strength in Texas Libraries," pp. 274-334.

[19]"Report of the Rouse Survey of Academic Libraries," Appendix A, New Mexico's Library Resources, 1970.

[20]Quoted from LIBRARY RESOURCES SURVEY, Title III Project Report, Louisiana State Library, October 2, 1969, Dallas, Texas.

[21]William J. Studer, "Computer-Based Selective Dissemination of Information (SDI) Services for Faculty Using Library of Congress Machine-Readable Catalog (MARC) Records," (Unpublished Ph.D. dissertation, Indiana University, 1968).

[22]C.A. Nelson, op.cit., p. 571.

[23]John Richard, op. cit., p. 4.

[24]As Pearce Grove's survey rather conclusively demonstrated, there is little willingness to support a multi-state serials control program among the libraries in the Southwest. Pearce S. Grove, "Serials Control in the Southwest," S.W.L.A. Newsletter, 19 (Summer, 1970), 2-3.

[25] C.A. Nelson, op. cit., p. 573.

Appendix A

ESTIMATES OF POPULATION IN SOUTHWESTERN STATES (1/1/70)

Sources: Standard Rate and Data Service. Spot radio rates and data, August 1, 1970. (SRDS)
Rand McNally Commercial atlas and marketing guide, 1970. (Rand)

Total State Population

	SRDS	Rand
Arizona	1,702,600	1,722,000
Arkansas	2,006,700	2,006,000
Louisiana	3,724,300	3,794,000
New Mexico	1,008,400	1,030,000
Oklahoma	2,567,000	2,557,000
Texas	11,237,400	11,250,000

Metropolitan Areas

Arizona		
Phoenix	906,200	920,000
Tucson	340,800	340,000
Arkansas		
Ft. Smith	156,900	160,000
Little Rock	347,200	320,000
Memphis, Tenn.-Ark.	---	791,000
Pine Bluff	97,200	89,000
Texarkana	103,300	107,500
Louisiana		
Alexandria	128,700	---
Baton Rouge	288,400	295,000
Lafayette	104,200	107,000
Lake Charles	173,400	146,000
Monroe	122,200	120,000
New Orleans	1,078,000	1,105,000
Shreveport	324,800	297,000
New Mexico		
Albuquerque	322,200	330,000
Las Cruces	70,300	---
Roswell	62,800	---

	SRDS	Rand
Oklahoma		
Ft.Smith,Ark.-Okla.	---	160,000
Lawton	119,200	125,000
Okla. City	665,500	635,000
Tulsa	519,400	470,000
Texas		
Abilene	129,700	116,000
Amarillo	203,200	180,000
Austin	285,400	280,000
Beaumont-Port Arthur	346,700	320,000
Brownsville-Harlingen-San Benito	155,400	148,000
Corpus Christi	318,600	303,500
Dallas	1,503,600	1,539,000
El Paso	380,300	370,000
Ft. Worth	698,800	709,000
Galveston-Texas City	170,900	173,000
Houston	1,903,900	1,920,000
Laredo	77,100	78,000
Longview	77,600	---
Lubbock	199,400	200,000
McAllen-Pharr-Edinburg	193,900	188,000
Midland	75,800	66,000
Odessa	108,400	87,000
San Angelo	73,900	75,000
San Antonio	901,100	876,000
Sherman-Denison	77,200	82,000
Texarkana	103,300	107,500
Tyler	98,700	98,000
Waco	162,200	146,000
Wichita Falls	146,700	127,500

Geographic Areas

Source: Rand McNally Commerical atlas and marketing guide, 1970. (Rand)

	Square Miles
Arizona	113,909
Arkansas	53,104
Louisiana	48,523
New Mexico	121,666
Oklahoma	69,919
Texas	267,339

Appendix B

STATEWIDE SURVEYS

ARIZONA

Guthrie, Melvin Glenn. A Study of Conditions and Services in School Libraries in the State of Arizona. A Supplementary Report of the Arizona Library Survey. Tempe: Arizona State University, Bureau of Educational Research and Services, Jan., 1968. 224 p.

Stevenson, Grace Thomas. Arizona Library Survey; A Comprehensive Study of Library Services in Arizona with a Projection for Future Services. Tempe: Arizona State University, Bureau of Educational Research and Services, Jan., 1968. 272 p.

LOUISIANA

Humphry, John A and Humphry, James III. Library Service in Louisiana, Keeping Pace with Progress in the State. A Report Prepared for the Louisiana Library Association. New York, 1968. 116 p.

NEW MEXICO

New Mexico's Library Resources: Present Status and a Plan for the Future. Report to the New Mexico State Library and the New Mexico Library Development Council. Arthur D. Little, Inc., March, 1970. 106 p. plus appendices.

OKLAHOMA

St. John,(Francis R.), Library Consultants, Inc., New York. Oklahoma Library Survey; a State-wide Survey of Libraries and Plan for Library Development in Oklahoma,1965. 1965. 105 p.

TEXAS

Holley, Edward G. and Donald D. Hendricks. Resources of Texas Libraries. Austin: Texas State Library, Field Services Division, 1968. 364 p. Also issued as Coordinating Board, Texas College and University System, CB Study Paper 3.

Management Services Associates, Inc., Austin. A Survey of Texas Public Libraries, 1965. August, 1966. 119 p.

Texas State Library, Austin. Preliminary Evaluation, Texas State Library Communication Network, 1968. 1969. 62 p.

Texas State Library, Austin. Evaluation Number Two, Texas State Library Communication Network, 1969. 1970. 62 p.

Appendix C

LIBRARIES WITH MORE THAN 500,000 VOLUMES IN SOUTHWESTERN STATES

	Total Volumes	Volumes Added	Expenditure
ARIZONA			
Academic (1967/68)			
Arizona State	926,759	109,251	$1,529,859
University of Arizona	1,059,531	95,642	1,441,952
Public (1966/67)			
Phoenix Public	515,844	N/A	1,501,359 + 238,346 (federa
ARKANSAS			
Academic (1968/69)			
University of Arkansas	590,933	32,933	$776,294
LOUISIANA			
Academic (1968/69)			
L.S.U. at Baton Rouge	1,244,124	45,259	1,540,216
Tulane University	1,027,697	43,169	1,413,857
Public (1969)			
New Orleans Public	680,873	42,026	1,455,927
NEW MEXICO			
Academic (1967/68)			
University of New Mexico	583,981	58,208	1,005,942
OKLAHOMA			
Academic (1968/69)			
Oklahoma State University	926,233	40,913	1,109,020
University of Oklahoma	1,219,656	65,898	1,408,766
Public (1969)			
Oklahoma County	521,975	N/A	1,306,177
Tulsa City-County	535,014	N/A	1,313,008

Appendix C (cont.)

	Total Volumes	Volumes Added	Expenditur
TEXAS			
Academic			
University of Houston	520,689	55,417	1,380,018
North Texas State University	711,085	53,925	1,021,641
Rice University	578,383	31,866	1,042,392
Southern Methodist University	1,046,714	N/A	960,139
Texas A & M University	610,142	37,605	1,116,028
Texas Christian University	683,051	101,694(?)	643,470
Texas Technological University	920,463	66,814	1,216,355
University of Texas at Austin	2,165,728	90,113	2,277,132
Public			
Dallas Public	1,047,097	114,632	3,005,517
Fort Worth Public	617,344	34,607	965,588
Houston Public	1,158,265	254,668	2,049,848
San Antonio Public	636,983	87,826	1,025,345

NOTE:
Statistics for Public Libraries taken from state agency report where available. Otherwise from American Library Directory. Statistics for academic libraries from"Statistics of Southern College and University Libraries, 1968-69", comp. Jewel Allen, LSU, 1969, except for Arizona and New Mexico where USOE Fall, 1968, statistical report used.

APPENDIX D

STATE LIBRARY AGENCIES EXPENDITURES

	State Funds	Federal Funds
Arizona (1970)	$380,993*	$485,369
Arkansas (1969)	507,487**	954,167
Louisiana (1970)	377,430***	747,389
New Mexico (1970)	315,000	431,936
Oklahoma (1970)	410,383	575,042
Texas (1970est)	541,071	2,592,743

*Includes 24,000 for state grants-in-aid.

**Includes 344,474 in state aid to county and regional libraries.

***Includes 94,223 from other state sources.

LEGAL, ORGANIZATIONAL AND FINANCIAL ASPECTS OF INTERSTATE INTERLIBRARY COOPERATION IN THE SOUTHWEST

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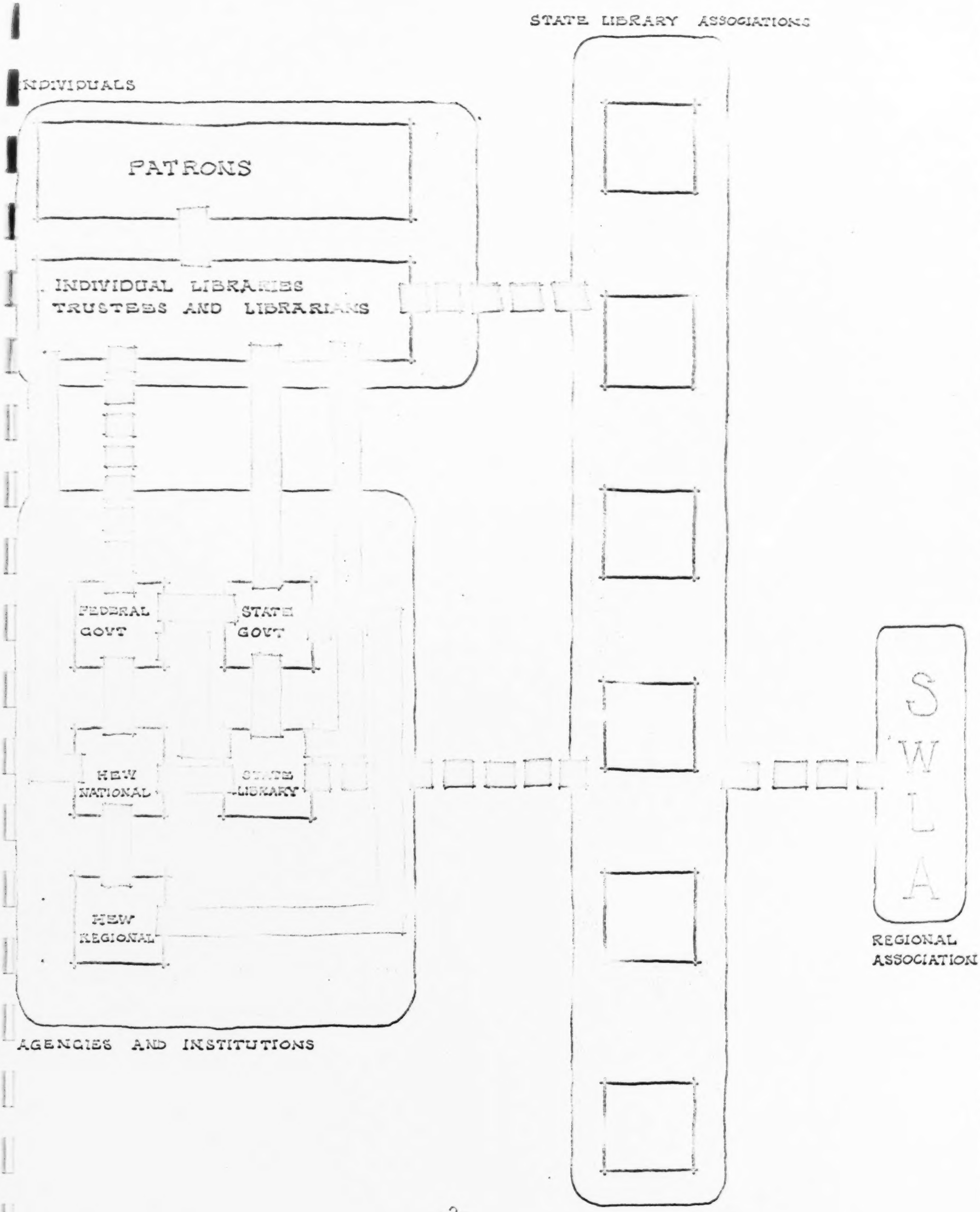
Prepared for presentation at
Interstate, Interlibrary Cooperation in the Southwest - A Working Conference
Arlington, Texas, September 16 - 18, 1970

INTRODUCTION AND BACKGROUND

In preparing this paper it was first necessary to take an overview of all agencies, institutions, organizations and persons affected. Since it was the conviction of the authors that the prime reason for attempting to establish the Southwestern Library Interstate Cooperative Effort was to better serve the library users and potential users in the six states, all the citizens of the states are potentially affected: and it was felt by both authors that a statement to this effect should be made at the beginning of the paper. The authors have attempted to keep this as a basic concern in developing this document.

Others affected are national, state and local governmental agencies; all the libraries in the six states of all types; the state and regional library associations; and a number of governing library boards.

The chart on the next page attempts to set forth in a graphic manner the relationships of the groups shown. Unbroken lines represent direct relationship involving legal, regulatory and advisory relationships. Broken lines represent advisory and other informal relationships.


STATE LIBRARY ASSOCIATIONS
INDIVIDUALS
PATRONS
INDIVIDUAL LIBRARIES
TRUSTEES AND LIBRARIANS
FEDERAL GOVT
STATE GOVT
NEW NATIONAL
STATE LIBRARY
NEW REGIONAL
AGENCIES AND INSTITUTIONS
S
W
L
A
REGIONAL ASSOCIATION

The committee also considered the organizational elements which seem necessary to assure the relevance of SLICE. The following list, which may well be incomplete, was developed.

The governing board of an organization must:

(1) Be representative of the membership it serves

(2) Have the full support of the membership it serves

(3) Identify and establish priorities of services it can provide to the participating members

(4) Be vested with authority in order to implement the identified services

(5) Keep the membership fully informed of the organization's activities; the membership must in turn keep the Board appraised of new or modified services that could be provided for the members by SLICE

(6) Have guaranteed financial support

All the foregoing was kept in mind as the authors began identifying the possible alternatives for implementing SLICE. It is not the purpose of this paper to recommend any of the alternatives identified as the best or which should be finally chosen. It is possible that a combination of the alternatives might be possible and the most practical. If the combination possibility seems promising, in depth consideration of legal barriers not identified in this paper would have to be investigated by each state through their official legal officers.

PART I, ALTERNATIVE METHODS OF IMPLEMENTATION

As the authors checked the indexes of the statutes of each of the six states (under the subject headings of: libraries, interstate..., interlocal..., compacts, cooperation, contracting, purchasing, and a number of others), and as they read and compared the laws identified, the following alternatives came to light. It is possible, even probable perhaps, that the search was incomplete since indexing, variation in terminology in the states' statutes and possible oversight by the authors may have resulted in failure to identify all pertinent laws. It is hoped that the participants knowing of other pertinent laws of their states will bring these to the conference.

Purchasing

Advantages

1. Each member of SLICE could, when legally permissable, avail itself of only those services which it felt it needed and had the funds to purchase.

2. There would be little or no overhead or administrative costs because no central office would be maintained.

3. Most members could participate under existing laws. In most cases no new legislation would be needed.

Disadvantages

1. Some legal aspects would be complex. Legal barriers would also vary from state to state. (For example: In some states there would be the necessity of asking for bids for services).

2. No overall coordination or communication would be built into such an arrangement thereby undermining the regional cooperative aspects of the SLICE endeavor.

Contracting

Advantages

1. The same advantage could apply here as in the purchasing advantage No. 1.

2. If the contracting method were used in the same manner as set forth under purchasing, purchasing advantage No. 2 would apply as well.

3. A clearer committment would result from a written contract.

4. Depending on the contracting laws of the states, broad representation on some sort of board might well be possible.

Disadvantages

1. Contract renewal would probably have to occur annually.

2. If no central board or organization were set up, coordination or communication would be weak or non-existent.

3. Since contracting laws vary among the states, there could be legal barriers.

Incorporation with membership and a board

Advantages

1. Each institution or agency would have the option of joining and could easily withdraw.
2. There would be a central board which would allow coordination, communication and representation.
3. Parties to the corporation would execute a legally binding agreement.
4. There would probably be no insurmountable legal barriers to participation.
5. Wide board representation would be possible.
6. Once papers of incorporation were drawn up and regulations developed, the structure would be built in and set forth in documents.

Disadvantages

1. Because of the ease of withdrawing from membership, longterm planning and coordination could prove difficult.
2. Because of the same factor set forth above, a stable longterm and predictable income for funding would probably cause great problems.
3. Since incorporation would have to rest in one state, some problems could arise if that state's laws caused restrictions which would be felt by participating institutions.

Interstate Library Compact

Advantages

1. Provides for the possibility of adoption of compatible laws by the cooperating states.
2. Establishes a legally structured organization.
3. Establishes a legal authority for funding.
4. Assures compliance with state law through attorneys general approval of the compact agreements.

Disadvantages

1. Possible difficulty of enacting compatible laws among the cooperating states.
2. Possibility of having an unrepresentative governing board.
3. Possible difficulty in gaining enactment of an interstate compact law for only one type of service (i.e. library service).

Interstate Library Compact (cont.)

Advantages	Disadvantages
5. Provides for the possibility of a broadly based, diversified governing board (librarians from all types of libraries could serve as compact and deputy compact administrators.)	
6. Provides for two types of interstate cooperative efforts: a. Cooperative efforts between individual library units (e.g. Texarkana, Texas and Arkansas) b. Cooperative efforts among a number of state library agencies.	
7. Provides for legally binding agreements but also provides legal steps to be followed for withdrawal from compact.	
8. Eliminates duplication of expensive services and equipment through cooperative sharing.	

Interlocal Cooperation Acts

Advantages	Disadvantages
1. Allows for creative planning because these agreements can be fitted to any type of cooperative effort (libraries, pollution control, education, rivers and harbors, etc.)	1. May be too vague or too general to be effective.
2. Allows in a general way for advantages listed in the Interstate Library Compact, excluding no. 6	2. May be difficult to get such a general agreement enacted in all six states (laws could lack compatibility).

STATE	INTERSTATE LIBRARY COMPACT		ALTERNATE LAWS ALLOWING INTERSTATE PROGRAMS	
	Provisions for Compact Administrators	Exceptions, Variations and Restrictions	Popular Name of Law	Exceptions and Restrictions
Arizona		Has not adopted an Interstate Library Compact	Joint Exercise of Powers Law	State can enter only into a contract or agreement with adjoining states; contracts and agreements must be approved by attorney general and filed with secretary of state
Arkansas	Governor appoints officer of the State as administrator; Governor also appoints one or more deputy administrators.	Compact agreements must be approved by the Attorney General	Interlocal Cooperation Act	Provides for an administrator or joint board; each agreement mus be approved by the Attorney General, other state officers whose jurisdiction might be affected and must be filed with the county clerk and secretary of state.
Louisiana	State Librarian; State Librarian may appoint one or more deputy administrators.	Compact agreements must be approved by the Attorney General	Has not adopted alternate law	
New Mexico	State Librarian	State can only enter into a compact with adjoining states; have no provisions for deputy administrators; have no provisions for approval of compact agreements by the Attorney General	Has not adopted alternate law	

	INTERSTATE LIBRARY COMPACT		ALTERNATE LAWS ALLOWING INTERSTATE PROGRAMS	
STATE	Provisions for Compact Administrators	Exceptions, Variations and Restrictions	Popular Name of Law	Exceptions and Restrictions
Oklahoma	Director of Department of Libraries; Director shall appoint a duputy administrator.	Provides for a single deputy administrator; compact agreement must be approved by the Attorney General	Interlocal Cooperation Act	Provides for an administrato or joint board; each agreement must be approved by the Attorney General, othe state officers whose jurisdiction might be affect and must be filed with the County Clerk and Secretary of State.
Texas		Has not adopted an Interstate Library Compact	Has not adopted alternate law	

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Sections omitted include:

Arizona Revised Statutes, Annotated...1969-1970, Cumulative Pocket Part. Volume 3, Titles 9 to 11, 33 to 36, St. Paul Minnesota, West Publishing Co.

Arkansas Statutes, Annotated Ed...1969 Pocket Supplement. Volume 2. Chapter 3 - Arkansas Library Commission, Section 6-310-6-315.

West's Louisiana Statutes Annotated: Revised Statutes. Sections 24.1 to 31:End. Volume 17. St. Paul, Minnesota, West Publishing Company

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New Mexico Statutes, Annotated. Replacement Volume 2, 1969, Pocket Supplement, Published Under the Supervision of the New Mexico Compilation Commission, Amendments to Acts and New Laws Enacted by the Legislature Since Publication of Replacement Volume 2 and Annotations Supplementing the Replacement Volume, Statutes 4-11-15 - 4-11-18...Indianapolis, Indiana, The Allen Smith Company.

1969 Supplement Oklahoma Statutes, Containing Laws of a General and Permanent Nature, 29th Legislature, 1963 through the 32nd Legislature, First Regular Session, 1969, Directly Supplementing Oklahoma Statutes 1961, Oklahoma Statutes Annotated Classification, Statutes Supplement 1969, 1001-1008; 6--101 - 6 -- 107 and 7 -- 106, St. Paul, Minnesota, West Publishing Company

1970 Cumulative ACIR State Legislative Program, Advisory Committee on Intergovernmental Relations, Washington, D.C. 20575, August 1969, IV.-48

INTERLOCAL COOPERATION

The relationship of local governmental units to the functions which they are expected to perform raises difficult questions. The burgeoning of governmental services and the changing demands of modern life have sometimes required functions to be administered within geographic units larger than, or at least not coincident with the boundaries of existing political subdivisions. To a limited extent, municipal consolidations and annexations have taken place in an attempt to meet altered demographic situations. But the problem of devising appropriate local government areas remains. Often it is only a single function, or a limited number of functions that should be performed on a different or consolidated basis. In these instances the abolition of existing units is too extreme a remedy. On the other hand, special districts can and have been formed for school, fire protection, public sanitation, etc. Such districts are of great utility and doubtless will continue to be important. However, the creation of such districts usually requires special action from state authorities and may result in the withdrawal of control over the function from the political subdivisions formerly responsible for it. In these circumstances, there may be a large number of situations in which joint or cooperative rendering of one or more services by existing political subdivisions is called for.

In recent years states have been authorizing their political subdivisions to enter into interlocal agreements or contracts. Arrangements under which smaller communities send their high school pupils to the schools in adjacent larger cities, purchase water from a metropolitan supply system, receive police and fire protection from neighboring communities, or establish joint drainage facilities are becoming relatively frequent. However, legislation authorizing such arrangements has, almost without exception, been particularistic; related, only to the peculiar requirements of a designated local activity. The suggested Interlocal Cooperation Act which follows authorizes joint or cooperative activities on a general basis. It leaves it up to the local governmental units to decide what function or functions might better be performed by them in concert. The act does not grant any new powers to localities; it merely permits the exercise of power already possessed by the subdivision in conjunction with one or more other local communities for a common end. By leaving this degree of initiative with the localities themselves, the act seeks to make it easier for them to enter upon cooperative undertakings.

Because local governments and subdivisions have responsibility for the administration of certain state functions, and because the state in turn bears certain responsibilities for its subdivisions, some degree of control over interlocal agreements is both necessary and desirable. The suggested act provides this control by specifying the basic contents of such agreements and by requiring review by the attorney general and, in some cases, by other state officers before an agreement goes into effect.

It is believed that legislation of this type will be most useful if drawn so as to permit of use for any local function. However, it is recognized that some activities may present special problems and that states may wish to continue the practice of making special statutory provision for such types of interlocal cooperation. It would be quite possible for a state to enact this statute for use with reference to most types of interlocal cooperation and to make provision elsewhere in state law for types of interlocal functions requiring special handling.

Individual states also may wish to consider altering the suggested act in two other respects. As now drafted, the act permits two or more localities to exercise a power jointly or cooperatively if only one of them possesses the power. For example, Community A which has the power to build and maintain a public water supply system and Community B which does not have such a power, could enter into an agreement for the joint or cooperative construction and maintenance of such a facility. Some states may wish to enact a statute of this breadth. However, others may wish to limit the statute to use in situations where all agreeing localities could exercise the power separately. A slight amendment of Section 4(a) of the suggested legislation would accomplish this limitation if desired. Also, some states may wish to add provisions dealing with civil service status, pensions and other employment benefits of persons working for such joint or cooperative undertakings and provisions with respect to holding, disbursement and audit of funds of a joint or cooperative undertaking. No attempt has been made in the suggested legislation to draft such provisions because personnel and fiscal arrangements in the states vary too widely.

It should be noted that the suggested act is drafted for use between or among communities whether or not they are located within a single state. Patterns of settlement often make it advantageous for communities at or near state lines to enter into cooperative relationships with neighboring subdivisions on the other side of the state boundary. It is clear that such relationships are possible when cast in the form of interstate compacts. Accordingly, the suggested act specifically gives interlocal agreements across state boundaries the status of compacts. However, the usual interstate compact is an instrument to which states are party. Since the contemplated interlocal agreements should be the primary creation and responsibility of the local communities, the act makes them the real parties in interest for legal purposes and places the state more in the position of guarantor. Since this means that the obligation is enforceable against the state if necessary, the interlocal agreement will have all the necessary attributes of a compact. However, the state in turn is protected by the requirement of prior approval of the agreement by state authorities and by the provisions of Section 5 preserving the state's right of recourse against a non-performing locality.

There has been much confusion concerning the need for Congressional consent to interstate compacts. The wording of the Compact Clause of the Constitution has led some to believe that all compacts need Congressional consent. However, this is clearly not the case. The leading case of Virginia *v.* Tennessee, 148 U.S. 503 (1893) makes it clear that only those compacts which affect the balance of the federal system or affect a power delegated to the national government require Congressional consent. Such pronouncements as have come from state courts also take this position. Bode *v.* Barrett, 412 Ill. 204, 106 NE 2d 521 (1952); Dixie Wholesale Grocery Inc. *v.* Morton, 278 Ky. 705, 129 SW 2d 184 (1939), Cert. Den. 308 U.S. 609; Roberts Tobacco Co. *v.* Michigan Dept. of Revenue, 322 Mich. 519, 34 NW 2d 54 (1948); Russell *v.* American Ass'n, 139 Tenn. 124, 201 SW 151 (1918). Finally, it should be noted that the Southern Regional Education Compact to which a large number of states are party has been in full force and operation for over seven years even though it does not have the consent of Congress and when challenged, the compact was upheld. McCready *v.* Byrd, 195 Md. 131, 73 A 2d 8 (1950). Except where very unusual circumstances exist, it seems clear that powers exercised by local governments either individually or in concert, lie squarely within state jurisdiction and so

raise no question of the balance of our federal system. Accordingly, in the absence of special circumstances, it is clear that interlocal agreements between or among subdivisions in different states would not need the consent of Congress.

Some of the states have boundaries with Canada or Mexico. Therefore, it may be that some border localities in these states might have occasion to enter into interlocal agreements with communities in these neighboring foreign countries. The suggested act makes no provision for such agreements since it is felt that agreements with foreign governmental units may raise special problems. States having such boundaries might want to consider whether to devise means for extending the benefits of this suggested act to agreements between their subdivisions and local governments across an international boundary. Any state wishing to follow this course, might add appropriate provisions to the suggested act at the time of passage or might amend its statute later after experience with the legislation within the United States has been gained.

Suggested Legislation

[Title should conform to state requirements.]
(Be it enacted, etc.)

Section 1. Purpose. It is the purpose of this act to permit local governmental units to make the most efficient use of their powers by enabling them to cooperate with other localities on a basis of mutual advantage and thereby to provide services and facilities in a manner and pursuant to forms of governmental organization that will accord best with geographic, economic, population and other factors influencing the needs and development of local communities.

Section 2. Short Title. This act may be cited as the Interlocal Cooperation Act.

Section 3. Public Agency Defined. (a) For the purposes of this act, the term "public agency" shall mean any political subdivision [insert enumeration, if desired] of this state; any agency of the state government or of the United States; and any political subdivision of another state.

(b) The term "state" shall mean a state of the United States and the District of Columbia.

Section 4. Interlocal Agreements. (a) Any power or powers, privileges or authority exercised or capable of exercise by a public agency of this state may be exercised and enjoyed jointly with any other public agency of this state, and jointly with any public agency of any other state or of the United States to the extent that the laws of such other state or of the United States permit such joint exercise or enjoyment. Any agency of the state government when acting jointly with any public agency may exercise and enjoy all of the powers, privileges and authority conferred by this act upon a public agency.

(b) Any two or more public agencies may enter into agreements with one another for joint or cooperative action pursuant to the provisions of this act. Appropriate action by ordinance, resolution or otherwise pursuant to law of the governing bodies of the participating public agencies shall be necessary before any such agreement may enter into force.

(c) Any such agreement shall specify the following:

1. Its duration.

2. The precise organization, composition and nature of any separate legal or administrative entity created thereby together with the powers delegated thereto, provided such entity may be legally created.

3. Its purpose or purposes.

4. The manner of financing the joint or cooperative undertaking and of establishing and maintaining a budget therefor.

5. The permissable method or methods to be employed in accomplishing the partial or complete termination of the agreement and for disposing of property upon such partial or complete termination.

6. Any other necessary and proper matters.

(d) In the event that the agreement does not establish a separate legal entity to conduct the joint or cooperative undertaking, the agreement shall, in addition to items 1, 3, 4, 5 and 6 enumerated in subdivision (c) hereof, contain the following:

1. Provision for an administrator or a joint board responsible for administering the joint or cooperative undertaking. In the case of a joint board public agencies party to the agreement shall be represented.

2. The manner of acquiring, holding and disposing of real and personal property used in the joint or cooperative undertaking.

(e) No agreement made pursuant to this act shall relieve any public agency of any obligation or responsibility imposed upon it by law except that to the extent of actual and timely performance thereof by a joint board or other legal or administrative entity created by an agreement made hereunder, said performance may be offered in satisfaction of the obligation or responsibility.

(f) Every agreement made hereunder shall, prior to and as a condition precedent to its entry into force, be submitted to the attorney general who shall determine whether the agreement is in proper form and compatible with the laws of this state. The attorney general shall approve any agreement submitted to him hereunder unless he shall find that it does not meet the conditions set forth herein and shall detail in writing addressed to the governing bodies of the public agencies concerned the specific respects in which the proposed agreement fails to meet the requirements of law. Failure to disapprove an agreement submitted hereunder within [....] days of its submission shall constitute approval thereof.

[(g) Financing of joint projects by agreement shall be as provided by law.]

Section 5. Filing, Status, and Actions. Prior to its entry into force, an agreement made pursuant to this act shall be filed with [the keeper of local public records] and with the [secretary of state]. In the event that an agreement entered into pursuant to this act is between or among one or more public agencies of this state and one or more public agencies of another state or of the United States, said agreement shall have the status of an interstate compact, but in any case or controversy involving performance or interpretation thereof or liability thereunder, the public agencies party thereto shall be real parties in interest and the state may maintain an action to recoup or otherwise make itself whole for any damages or liability which it may incur by reason of being joined as a party therein. Such action shall be maintainable against any public agency or agencies whose default, failure of performance, or other conduct caused or contributed to the incurring of damage or liability by the state.

Section 6. Additional Approval in Certain Cases. In the event that an agreement made pursuant to this act shall deal in whole or in part with the provision of services or facilities with regard to which an officer or agency of the state government has constitutional or statutory powers of control, the agreement shall, as a condition precedent to its entry into force, be submitted to the state officer or agency having such power of control and shall be approved or disapproved by him or it as to all matters within his or its jurisdiction in the same manner and subject to the same requirements governing the action of the attorney general pursuant to Section 4(f) of this act. This requirement of submission and approval shall be in addition to and not in substitution for the requirement of submission to and approval by the attorney general.

Section 7. Appropriations, Furnishing of Property, Personnel and Service. Any public agency entering into an agreement pursuant to this act may appropriate funds and may sell, lease, give, or otherwise supply the administrative joint board or other legal or administrative entity created to operate the joint or cooperative undertaking by providing such personnel or services therefor as may be within its legal power to furnish.

Section 8. [Insert severability clause, if desired.]

Section 9. [Insert effective date.]

INTERSTATE LIBRARY COMPACT

Explanatory Statement

Cooperation among libraries in providing materials and services of various types is a common practice. No library can be self sufficient, and the continuing flood of books, periodicals and other materials make it all the more impossible for any library to obtain and keep complete collections. Cooperation among libraries is a means of reducing costs and of providing better services to the people served by each library.

The Interstate Library Compact provides the legal basis for extending cooperative library services across state lines. Under the compact state libraries may make agreements to provide services or permit the use of facilities on an interstate basis. For example, an agreement might provide that certain specialized collections be acquired and administered jointly and though physically housed in one state be available for the use of residents of other participating states. Similarly, films and other special types of materials could be utilized jointly. The compact also authorizes local libraries to make similar arrangements for providing services to residents of other states. Obviously, these arrangements would involve only libraries and areas close to state boundaries. Finally, there is authority in the compact for private libraries to join with public libraries in the provision of cooperative services.

The compact is in the nature of enabling legislation. Enactment of the compact does not establish any cooperative services but merely gives authority to state and local libraries to do so. They may exercise the authority so granted by entering into agreements. The agreements require the approval of the attorneys general of all states involved in order to become effective and also are subject to the approval of any other state officials with powers of control over matters covered in them. Agreements may provide for the establishment of interstate library districts but cooperative services may be undertaken by agreements without creating such districts.

Enactment of the compact would facilitate cooperation among libraries and make possible a variety of services which either would not be furnished at all or would be provided only at greater expense. Interstate cooperation in this field would enable states, or localities, and their citizens to obtain the maximum benefit from library resources throughout a region rather than merely from those which exist within a particular state or locality.

The text of the compact, as adopted by some of the northeastern states in 1963, and of a model enabling act follow. However, it should be noted that these states do not have in mind the adherence of states throughout the nation to the compact in which they participate. In its

very nature, the type of cooperation here envisaged is likely to be most effective among regional groups of states. Consequently, the compact presented herewith is submitted as a model which may be helpful to groups of states wishing to draft their own library compacts, rather than as a text which must be adopted by any state wishing to enter into an already existing compact.

The purpose of the enabling act which follows is to fit the compact into the existing pattern of law in the party state. Except for the text of the compact, which should be identical in all states, the language of the enabling act may be varied by each enacting state to fit its own law and policy. Some provision should be made for all matters covered in the model act; other provisions may be added if they are needed. Material enclosed in brackets should be replaced by specific language which will accomplish the purpose indicated.

Suggested Legislation

[Title should conform to state requirements. The following is a suggestion only: "An act entering into the Interstate Library Compact, enacting the same into law, and for related purposes."]

(Be it enacted, etc.)

Section 1. The Interstate Library Compact is hereby enacted into law and entered into by this state with all states legally joining therein in the form substantially as follows:

[INSERT EXACT TEXT OF COMPACT]

Section 2. No [city, town or public district] of this state shall be party to a library agreement which provides for the construction or maintenance of a library pursuant to Article III, subdivision (c-7) of the compact, nor pledge its credit in support of such a library, or contribute to the capital financing thereof, except after compliance with any laws applicable to such [cities, towns or public districts] relating to or governing capital outlays and the pledging of credit.

Section 3. As used in the compact, "state library agency," with reference to this state, means [list any agency or agencies of the state government for which coverage is desired]. [A state may wish to authorize any state agency maintaining a research or departmental library to participate under this article of the compact.]

Section 4. An interstate library district lying partly within this state may claim and be entitled to receive state aid in support of any of its functions to the same extent and in the same manner as such functions are eligible for support when carried on by entities

wholly within this state. For the purposes of computing and apportioning state aid to an interstate library district, this state will consider that portion of the area which lies within this state as an independent entity for the performance of the aided function or functions and compute and apportion the aid accordingly. Subject to any applicable laws of this state, such a district also may apply for and be entitled to receive any federal aid for which it may be eligible.

Section 5. The [appropriate state official] [Governor shall appoint an officer of this state who] shall be the compact administrator pursuant to Article X of the compact. [The shall be] [Governor shall also appoint one or more] deputy compact administrator[s] pursuant to said article.

Section 6. In the event of withdrawal from the compact the [Governor] shall send and receive any notices required by Article XI (b) of the compact.

Section 7. [Insert effective date.]

INTERSTATE LIBRARY COMPACT

Article I. Policy and Purpose

Because the desire for the services provided by libraries transcends governmental boundaries and can most effectively be satisfied by giving such services to communities and people regardless of jurisdictional lines, it is the policy of the states party to this compact to cooperate and share their responsibilities; to authorize cooperation and sharing with respect to those types of library facilities and services which can be more economically or efficiently developed and maintained on a cooperative basis, and to authorize cooperation and sharing among localities, states and others in providing joint or cooperative library services in areas where the distribution of population or of existing and potential library resources make the provision of library service on an interstate basis the most effective way of providing adequate and efficient service.

Article II. Definitions

As used in this compact:

(a) "Public library agency" means any unit or agency of local or state government operating or having power to operate a library.

(b) "Private library agency" means any nongovernmental entity which operates or assumes a legal obligation to operate a library.

(c) "Library agreement" means a contract establishing an interstate library district pursuant to this compact or providing for the joint or cooperative furnishing of library services.

Article III. Interstate Library Districts

(a) Any one or more public library agencies in a party state in cooperation with any public library agency or agencies in one or more other party states may establish and maintain an interstate library district. Subject to the provisions of this compact and any other laws of the party states which pursuant hereto remain applicable, such district may establish, maintain and operate some or all of the library facilities and services for the area concerned in accordance with the terms of a library agreement therefor. Any private library agency or agencies within an interstate library district may cooperate therewith, assume duties, responsibilities and obligations thereto, and receive benefits therefrom as provided in any library agreement to which such agency or agencies become party.

(b) Within an interstate library district, and as provided by a library agreement, the performance of library functions may be undertaken on a joint or cooperative basis or may be undertaken by means of one or more arrangements between or among public or private library agencies for the extension of library privileges to the use of facilities or services operated or rendered by one or more of the individual library agencies.

(c) If a library agreement provides for joint establishment, maintenance or operation of library facilities or services by an interstate library district, such district shall have power to do any one or more of the following in accordance with such library agreement:

1. Undertake, administer and participate in programs or arrangements for securing, lending or servicing of books and other publications, any other materials suitable to be kept or made available by libraries, library equipment or for the dissemination of information about libraries, the value and significance of particular items therein, and the use thereof.

2. Accept for any of its purposes under this compact any and all donations, and grants of money, equipment, supplies, materials, and services, (conditional or otherwise), from any state or the United States or any subdivision or agency thereof, or interstate agency, or from any institution, person, firm or corporation, and receive, utilize and dispose of the same.

3. Operate mobile library units or equipment for the purpose of rendering bookmobile service within the district.

4. Employ professional, technical, clerical and other personnel, and fix terms of employment, compensation and other appropriate benefits; and where desirable, provide for the in-service training of such personnel.

5. Sue and be sued in any court of competent jurisdiction.

6. Acquire, hold, and dispose of any real or personal property or any interest or interests therein as may be appropriate to the rendering of library service.

7. Construct, maintain and operate a library, including any appropriate branches thereof.

8. Do such other things as may be incidental to or appropriate for the carrying out of any of the foregoing powers.

Article IV. Interstate Library Districts, Governing Board

(a) An interstate library district which establishes, maintains or operates any facilities or services in its own right shall have a governing board which shall direct the affairs of the district and act for it in all matters relating to its business. Each participating public library agency in the district shall be represented on the governing board which shall be organized and conduct its business in accordance with provision therefor in the library agreement. But in no event shall a governing board meet less often than twice a year.

(b) Any private library agency or agencies party to a library agreement establishing an interstate library district may be represented on or advise with the governing board of the district in such manner as the library agreement may provide.

Article V. State Library Agency Cooperation

Any two or more state library agencies of two or more of the party states may undertake and conduct joint or cooperative library programs, render joint or cooperative library services, and enter into and perform arrangements for the cooperative or joint acquisition, use, housing and disposition of items or collections of materials which, by reason of expense, rarity, specialized nature, or infrequency of demand therefor would be appropriate for central collection and shared use. Any such programs, services or arrangements may include provision for the exercise on a cooperative or joint basis of any power exercisable by an interstate library district and an agreement embodying any such program, service or arrangement shall contain provisions covering the subjects detailed in Article VI of this compact for interstate library agreements.

Article VI. Library Agreements

(a) In order to provide for any joint or cooperative undertaking pursuant to this compact, public and private library agencies may enter into library agreements. Any agreement executed pursuant to the provisions of this compact shall, as among the parties to the agreement:

1. Detail the specific nature of the services, programs, facilities, arrangements or properties to which it is applicable.

2. Provide for the allocation of costs and other financial responsibilities.

3. Specify the respective rights, duties, obligations and liabilities of the parties.

4. Set forth the terms and conditions for duration, renewal, termination, abrogation, disposal of joint or common property, if any, and all other matters which may be appropriate to the proper effectuation and performance of the agreement.

(b) No public or private library agency shall undertake to exercise itself, or jointly with any other library agency, by means of a library agreement any power prohibited to such agency by the constitutuon or statutes of its state.

(c) No library agreement shall become effective until filed with the compact administrator of each state involved, and approved in accordance with Article VII of this compact.

Article VII. Approval of Library Agreements

(a) Every library agreement made pursuant to this compact shall, prior to and as a condition precedent to its entry into force, be submitted to the attorney general of each state in which a public library agency party thereto is situated, who shall determine whether the agreement is in proper form and compatible with the laws of his state. The attorneys general shall approve any agreement submitted to them unless they shall find that it does not meet the conditions set forth herein and shall detail in writing addressed to the governing bodies of the public library agencies concerned the specific respects in which the proposed agreement fails to meet the requirements of law. Failure to disapprove an agreement submitted hereunder within ninety days of its submission shall constitute approval thereof.

(b) In the event that a library agreement made pursuant to this compact shall deal in whole or in part with the provision of services or facilities with regard to which an officer or agency of the state government has constitutional or statutory powers of control, the agreement

shall, as a condition precedent to its entry into force, be submitted to the state officer or agency having such power of control and shall be approved or disapproved by him or it as to all matters within his or its jurisdiction in the same manner and subject to the same requirements governing the action of the attorneys general pursuant to paragraph (a) of this article. This requirement of submission and approval shall be in addition to and not in substitution for the requirement of submission to and approval by the Attorneys General.

Article VIII. Other Laws Applicable

Nothing in this compact or in any library agreement shall be construed to supersede, alter or otherwise impair any obligation imposed on any library by otherwise applicable law, nor to authorize the transfer or disposition of any property held in trust by a library agency in a manner contrary to the terms of such trust.

Article IX. Appropriations and Aid

(a) Any public library agency party to a library agreement may appropriate funds to the interstate library district established thereby in the same manner and to the same extent as to a library wholly maintained by it and, subject to the laws of the state in which such public library agency is situated, may pledge its credit in support of an interstate library district established by the agreement.

(b) Subject to the provisions of the Library agreement pursuant to which it functions and the laws of the states in which such district is situated, an interstate library district may claim and receive any state and federal aid which may be available to library agencies.

Article X. Compact Administrator

Each state shall designate a compact administrator with whom copies of all library agreements to which his state or any public library agency thereof is party shall be filed. The administrator shall have such other powers as may be conferred upon him by the laws of his state and may consult and cooperate with the compact administrators of other party states and take such steps as may effectuate the purposes of this compact. If the laws of a party state so provide, such state may designate one or more deputy compact administrators in addition to its compact administrator.

Article XI. Entry Into Force and Withdrawal

(a) This compact shall enter into force and effect immediately upon its enactment into law by any two states. Thereafter, it shall enter into force and effect as to any other state upon the enactment thereof by such state.

(b) This compact shall continue in force with respect to a party state and remain binding upon such state until six months after such state has given notice to each other party state of the repeal thereof. Such withdrawal shall not be construed to relieve any party to a library agreement entered into pursuant to this compact from any obligation of that agreement prior to the end of its duration as provided therein.

Article XII. Construction and Severability

This compact shall be liberally construed so as to effectuate the purposes thereof. The provisions of this compact shall be severable and if any phrase, clause, sentence or provision of this compact is declared to be contrary to the constitution of any party state or of the United States or the applicability thereof to any government, agency, person or circumstance is held invalid, the validity of the remainder of this compact and the applicability thereof to any government, agency, person or circumstance shall not be affected thereby. If this compact shall be held contrary to the constitution of any state party thereto, the compact shall remain in full force and effect as to the remaining states and in full force and effect as to the state affected as to all severable matters.

THE ATTORNEY GENERAL
OF OKLAHOMA

Oklahoma City, Okla. 73105

August 28, 1970

G. T. BLANKENSHIP
ATTORNEY GENERAL

Mr. Ralph H. Funk
Director
The Oklahoma Department of Libraries
109 State Capitol
Oklahoma City, Oklahoma 73105

Opinion No. 70-254

Dear Mr. Funk:

The Attorney General has had under consideration your letter dated August 4, 1970, wherein you, in effect, ask the following question:

> Can Oklahoma enter into contractual agreements for library services using the Interstate Library Compact with another state which can only use an Interlocal Cooperation Act similar to the Oklahoma Act?

The Oklahoma Interstate Compact For Library Services, 65 O.S. Supp.1969, § 6-101 et seq., provides in relevant part as follows:

> "§ 6-101. Text of Compact. - The Interstate Library Compact is hereby enacted into law and entered into by this State with all states legally joining herein in the form substantially as follows: (Emphasis added)
>
> "INTERSTATE LIBRARY COMPACT"
>
> "Article VI. Library Agreements"
>
> ". . .
>
> "(c) No library agreement shall become effective until filed with the compact administrator of each state involved. . ."

"Article XI. Entry Into Force and Withdrawal"

"(a) This compact shall enter into force and effect immediately upon its enactment into law by any two states. . ."

"Section 6-105. The Director of the Department of Libraries shall be the administrator pursuant to Article X of the compact."

The rule of statutory construction related to your question is stated in Brown v. State Election Board, Okl., 369 P.2d 140 (1962), as follows:

"Public officers have only such authority as is conferred upon them by law, and such authority must be exercised in the manner prescribed by law."

The Attorney General is of the opinion your question should be answered in the negative. Oklahoma cannot enter into a contractual agreement for library services using the Interstate Library Compact with another state which can only use an Interlocal Cooperation Act.

ATT. GNRL OF OKLAHOMA APPROVED AS TO FORM IN CONFERENCE Official Copy

Sincerely,

FOR THE ATTORNEY GENERAL

Marvin E. Spears

MARVIN E. SPEARS
Assistant Attorney General

MES:vw

APPROVED IN CONFERENCE:

G. T. BLANKENSHIP
ATTORNEY GENERAL